

**ORGANIZATIONAL STRUCTURE ANALYSIS:
SPACE AND MISSILE DEFENSE COMMAND –
SENSORS DIRECTORATE**

by

Captain Stephen K Blake

A CAPSTONE PROJECT

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ABSTRACT

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Organizational performance at status quo is not a typical goal set by organizations. It is just the "harmonic frequency" to which all organizations will tend to migrate. This is the comfort zone for employers and employees. There are no innovations or creativity, no thinking outside of the box. Everything has become second nature and occurs in every organization that becomes complacent. Why make things difficult and change?

Through the responses from a survey instrument, this capstone project assesses an Army organization and defines the current organizational structure, the advantages and disadvantages of the structure, and recommends opportunities for improvement based on contemporary management theories and practices. It is the fear of obsolescence that should motivate organizations to continually improve. Competition for funding is driving the Sensors Directorate to take a serious look at the way they do business.

It takes conviction from management to ask, "What are we doing and how can we improve?" and even more to learn from the response. This project will provide the Sensors Directorate with a baseline for which they can measure change for the future.

Abstract Approval:

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CHAPTER ONE

PROBLEM STATEMENT

Introduction

Structure is the fundamental element of any organization. It constitutes the skeleton for combining the other four organizational elements: purpose, techniques, people, and information (Shrode and Voich, 1974). From an organizational design standpoint, structure is perhaps the central and most important element, and accordingly it plays a major role in the achievement of organizational effectiveness. Whereas traditional rigidity and formality have characterized the structure of organizations in the past, the systems philosophy of management stresses the importance of flexibility and temporality in structuring modern organizations.

This project is the result of a two fold agenda from the senior management of the Sensors Directorate (SD), Space and Missile Defense Command (SMDC), Department of the Army. First, is the commanding general's, SMDC, quest for the Army Process Improvement Criteria (APIC) award. The APIC award is the Army equivalent to the Malcolm Baldrige National Quality award. To be competitive an organization must be able to show improvement over a period of time, and therefore must have a baseline from which to measure. Second, Sensors Directorate is currently facing a reduction in the funding stream and increased competition for those funds. Reassessment of their business practices is necessary to become more efficient and more effective for the clients. Also, as in most government agencies, the current organization structure seems bureaucratic in nature and is structured with many levels of management. Sensors Directorate competes with private contractors and other government agencies for funding. The particular

specialties offered by Sensors Directorate are duplicated in the Air Force and Navy and mirrored in private industry.

In today's Department of Defense (DoD), funding is ever shrinking. Therefore, what was once a guaranteed fat and wide funding stream is now evaporating and leaving little money for which many government agencies/organizations and private industry compete. Private industry prides itself on being able to do things faster, better, and cheaper than the government. Private industry (outsourcing) poses a clear and present threat to government agencies that cannot keep up with technology, deliver on time and within budget, and deliver what the end user needs. The government is widely viewed as hugely bureaucratic, overly staffed, incompetent, terribly inefficient, and most of all expensive. More than ever today's government organizations *must* trim the fat and become lean, efficient and effective organizations to remain viable.

Purpose of Study

The study of the Sensors Directorate's organizational structure will reveal the following. First, the study will determine the Sensors Directorate's current organization structure and the advantages and disadvantages of that system. Through research, other organization structures will be identified and the potential benefit for the Sensor's Directorate in using various structures. Second, APIC specific criteria items and how the current organization structure affects each will be addressed. And finally, recommendations on better organization practices to reach the full potential of the employees of the Sensors Directorate will be cited.

Due to the highly competitive business environment in which this directorate competes, theory dictates that the organization be lean, flat, flexible and responsive to the changing requirements of the customer (Mintzberg, 1979). If this agency cannot meet the demands of the customer, then by definition the customer has other avenues by which requirements can be filled. Here in lies the dilemma. Dictated by congress military organizations are very structured to ensure strict adherence to the chain of command. The common military phrase, "Soldiers follow

"orders or people die" probably does not hold as much truth in non-combat arenas as it had several decades ago. The Research and Design theater is an area where creativity rather than control should flourish (Burns and Stalker, 1961). The Sensors Directorate falls within the research area and therefore should be organized to foster creativity, to sharing of information, and for a bias for action.

Organization Background

The Sensors Directorate develops, tests, and tracks high technology for space and missile defense weapon systems. Work and funding are received from outside Program Executive Offices (PEOs) in charge of large weapon systems. Other Army functional requirements are imposed on the directorate from the vertical chain of command. However, the PEO offices remain the largest source for funding. For this reason, the Sensors Directorate must become more efficient as the global economy prescribes competition in their high technology theater.

The directorate employs just over 100 employees, of which, around 35 are matrixed to the PEO offices. Although these employees affect the Sensors Directorate's manning document, they do not provide effort toward obtaining the directorate's mission. The 70 'core' employees are grouped into 6 directorates of various functions. The organization structure is currently very function oriented with little emphasis on teamwork.

CHAPTER TWO

REVIEW OF THE LITERATURE

Influential Theory

Scientific Management

Identified as one of the most revolutionary management styles of all-time, Fredrick W. Taylor's Scientific Management took center stage around the turn of the 20th century. Under the old-style of management, production efficiency depended entirely on the "initiative" of the workforce (Taylor, 1947). It was common belief among the workforce, primarily due to the belief that they would work themselves out of a job that highly efficient work was not in the best interest of the workers. Conversely, scientific management obtained the worker's initiative to a greater extent than what was possible under old management styles. Management assumed new responsibilities like, collecting the body of knowledge of traditional tasks, processing them into rules, regulations, and directives for the workers to follow during daily work routines. Scientific management can be summarized by (Taylor, 1947):

- Development of the body of knowledge through time studies, observation, flow-charting, and experiments ultimately devising the "One Best Way"
- Scientific selection of workers to fit the job and then training that worker to perform the job/task in the "One Best Way"
- Provide incentives to encourage the acceptance of the new ways
- Management/workers now have joint responsibility

Although scientific management brought about huge benefits for industry as a whole, there were drawbacks realized in the years following. Because this management style focused on

the division of labor to the point of extreme specialization, workers were dissatisfied with their jobs. As much as 90% of the workers, according to some studies, were dissatisfied because jobs were broken down to simple, repetitive tasks which were no longer challenging the worker (Walker and Guest, 1952).

Rational Model

The rational model takes rationality and applies it unabatedly to business management. Business where environments change, situations evolve, and employees/clients come and go, is an area full of uncertainty and variety. To be rational in its simplest definition is to look at everything in black or white, right or wrong, yes or no...never maybe, or possibly.

Peters and Waterman in the book In Search of Excellence described the traditional management approach as rational (1982). They explained that the problem with today's management practices in American companies was the use of the rational model. The companies they found to be excellent did not employ this management philosophy.

Peters and Waterman described the rational model as:

1. Bigger is always better because of economies of scale. When in doubt, consolidate; eliminate overlap, duplication and waste. As growth is realized, ensure everything is carefully and formally coordinated.
2. Low-cost producers are the only guaranteed winners. Customer utility functions lead them to focus on the cost of the final analysis. Survivors always make it cheaper.
3. Analyze everything. Market research, discounted cash flow, and good budgeting are the key to circumventing dumb decision-making.
4. Eliminate those that think outside the box. The business has a plan should be followed in detail.
5. Decision-making is management's job. (Call the shots and don't worry about the back end – implementation and execution).

6. Control everything. Part of making the right decisions is knowing everything there is to know about the situation. A manager's job is to maintain order through control.
7. Employees will produce *if* they see something in it for them. Get the incentives right and the productivity will follow. Over-reward the top performers, and weed out the 40 percent who don't want to work.
8. Inspection ensures quality. By eliminating the bad products, the customer will see only the good. Control is the key.
9. Business is a business is a business. All businesses can be broken down into their simplest form; a financial statement. If a person can read and understand the numbers, he can manage it, regardless of the nature of the business.
10. Growth is paramount. To survive, all businesses must grow taking advantage of any and all opportunities.
11. Top management knows all. The business knows what the market wants better than the market itself. Keep the production numbers up.

Furthermore, Peters and Waterman determined that the Ration Model (1982):

- did not embrace the customer
- did not treat the average person as a hero
- did not give employees opportunity to comment
- did not feel Quality Process Control is better than inspecting out bad quality after the process
- did not overspend on customer service and quality.

By today's standards, the Rational Model tends to be negative by 1) missing the product or process perspective (mostly number crunchers driving corporations), 2) discounting experimentation, creativity, and learning from failures, 3) over analyzing and following the

analysis blindly, 4) relying on giant innovation leap in product development, and 5) over-emphasizing the cost side of the economic equation.

Organizations that place more emphasis on the bottom line numbers than on the people responsible for the production or the end user of their efforts will eventually fall away (Peters and Waterman, 1982). There are aspects, in moderation, of the Rational Model that are powerful tools for business. However, for an organization to blindly follow the cold, hard economic side, without regard to the human side, is a fatalistic approach.

Peters and Waterman defined eight attributes of highly successful organizations in their book, In Search of Excellence. These attributes set apart the excellent and most innovative companies from the other more traditionally managed companies studied (1982).

A Bias for Action – This is an organization's tendency to act. Excellent organizations adopt this tendency through ad hoc task forces, small groups, informal communications, experimentation or risk-taking, and temporary structures. These groups are not stifled with excessive procedures or rules. The idea is to be creative, committed, and effective. Organizations learn from experience and can utilize information gathered through both success and failure to improve the chance of success in the future (Peters and Waterman, 1982).

Autonomy and Entrepreneurship – Peters and Waterman highlight this as "...perhaps the most important element," (Peters and Waterman, 1982). As organizations grow, they tend to become more bureaucratic. The excellent companies remember what spurred the growth and embrace it. As the excellent organizations grew, they spun off fully autonomous *new* organizations. The new, smaller organizations continued on as a separate entity designed around numerous interdisciplinary teams structured as an adhocracy. This provides the flexibility for the new as well as the parent organization to conduct business as their product markets dictate.

Stick to the Knitting – This suggests as companies grow, they should grow into markets or areas they understand (Peters and Waterman, 1982). For organizations to be successful during years of growth, it is important that they maintain the integrity of the core knowledge. Peters and

Waterman contend the worst performing companies diversify into areas where they have no expertise.

Simple Form, Lean Staff – The excellent companies of the study did not have grossly complex ambiguous matrix structures and exorbitant staffs (Peters and Waterman, 1982). Instead they were found to have a very stable basic structure, which actually facilitates flexibility. Because the basic structure is clear and maintained, flexibility around the basic structure is allowed and encouraged. Although the basic structure changes very little, the excellent companies were seen to be constantly reorganizing around the edges as required for peak effectiveness. This was resultant of the dynamic markets, which they serve.

Because the employees have all internalized and committed themselves to the corporate vision and culture, the few middle managers have very large spans of control. The employees are trusted fully and given flexibility to pursue their work in the best way to benefit the company. This use of trust and flexibility requires less direct supervision (Peters and Waterman, 1982).

Simultaneous Loose-Tight Properties – The most effective organizations exhibit both loose and tight traits. Peters and Waterman found (1982, pg 320):

...clubby, campus-like environments, flexible organizational structures (hiving off new divisions, regular reorganizations), volunteer, zealous project champions, maximized autonomy for individuals, teams and divisions, regular and extensive experimentation, positive reinforcement, (such as quickly introducing new products on a prototype basis), and strong social networks and a spirit of camaraderie. All of these traits focus on the positive, the excitement of trying things out in a slightly disorderly (loose) fashion.

At the same time, these companies displayed remarkably tight culturally driven set of principles that enabled them to remain on target. Most excellent companies had rigidly shared values. Their culture embraced an action orientation, regular informal communication sessions, quick feedback, and quality and service goals (Peters and Waterman, 1982). These organizations maintain control through the embodiment of the underlying values and culture to which *all* employees are fully committed. These values and principles prescribe to each employee their required contribution. The autonomy becomes a product of the employees' discipline. The

discipline of shared values and principles provides the framework. The framework gives people confidence derived from the stability of what is expected. Quality, innovativeness, informality, customer service, and people are the basic cultural values adhocracies embrace and are the guiding framework for their employees' actions and decisions (Peters and Waterman, 1982).

Bureaucracy

Max Weber, the famous German sociologist, conceived organizations as social structures defined by a hierarchy of authority, division of labor, and formal rules and regulations (Weber, 1947). The organizational hierarchy reflects the distribution of authority among the organizational positions. And, authority grants the position holder certain rights over those that reside below that position. This is legitimate power, meaning that the authority belongs to the position and not the person holding the position.

Authority empowers position holders to influence, via downward communication and direction, those who are responsible to them. The hierarchy also defines the reporting relationships through which management expects to receive upward information flow. As each position in the organization is made subordinate to another, authority and vertical communication combine to permit senior management to gather information, determine the course of action, and then to direct, control, and demand high performance by all individuals at lower levels in the organization (Hatch, 1997).

Just as the hierarchy describes the distribution of authority, the division of labor concept describes the distribution of responsibilities/tasks. The division of labor breaks down a task to its simplest functions and spreads the responsibility to several specialized individuals. It is the job of individuals to be efficient at their particular task to ensure a combined sound process. In 1776 a Scottish economist, Adam Smith, observed an extreme example of division of labor in a pin making shop (Smith, 1957):

One man draws out the wire, another straightens it, a third cuts it, a fourth points it, a fifth grinds it at the top for receiving the head; to make the head requires two

or three distinct operations; to put it on is a peculiar business, to whiten the pins is another; it is even a trade by itself to put them into the paper; and the important business of making a pin is, in this manner, divided into about eighteen distinct operations.

When Weber developed this idea of bureaucracy he was focused on providing an alternative to the common practices of his time. There were many abuses by owners and managers toward workers. His ideal bureaucracy would transform average workers into rational decision-makers able to serve with impartiality and extreme efficiency (Weber, 1947). The Bureaucratic form promised predictability in decision-making, merit-based selection and promotion, and the impersonal application of rules. This is a far cry from today's perception of bureaucratic organizations (slow, red tape, uncaring, numbers-oriented, etc.). Listed below are the characteristics Weber had in mind when developing his ideal bureaucracy (Weber, 1947).

- A fixed division of labor
- A clearly defined hierarchy of offices, each with its own sphere of competence
- Candidates for office selected on the basis of technical qualifications, appointed rather than elected
- Officials remunerated by fixed salaries
- A full time office holder whose career is the management of the organization
- Promotion according to seniority or achievement, dependent upon the judgment of superiors
- Official work separated from ownership
- A set of general rules governing the performance of offices, strict discipline and control in the conduct of the office

Since Weber's time we have realized that bureaucracies tend to over-rationalize decision-making to the point that it becomes an unthinking process or procedure with no human emotional involvement (Peters and Waterman, 1982).

There are several situations in which the bureaucracy is not the appropriate approach. Due to the size of small organizations, the formalization of bureaucracy is not suitable to their growth and cause (Mintzberg, 1979). Non-routine functions and unstable environments also undermine the effectiveness of a bureaucratic organization. The bureaucracy cannot accommodate change because the control devices require time to alter. Policies must be rewritten when they become out-dated, rules must be refocused, and the changes must be transferred to the lower-level employees through the chain of command (Weber, 1947).

Through the discussion above, it becomes apparent that the bureaucracy is not an efficient system for an organization in a highly competitive environment (Burns and Stalker, 1961).

Employee Motivation

Frederick Herzberg studied a multi-disciplined group across several different organizations. He determined that the opposite of job satisfaction is not job dissatisfaction, but rather, no job satisfaction (1968). Two different needs of man are involved with Herzberg's theory of employee motivation. The first revolves around the fact that man has basic, biological needs. The other set of needs relates to the ability to achieve, and through achievement, experiencing psychological growth. Herzberg identified, through these studies, a composite of factors that repeatedly provoked employee dissatisfaction-avoidance and growth or motivation. He called these factors his *hygiene factors* and *motivation factors*.

Herzberg identified his *motivational factors* as achievement, recognition, the actual work, responsibility, advancement, and professional growth. His *hygiene factors* include company policy and administration, supervision, interpersonal relationships, working conditions, salary, status, and security.

Herzberg hygiene factors cannot lead to employee motivation, only to the lack of job dissatisfaction. If an employee is lacking any of these hygiene factors, they will realize job

dissatisfaction. Employers, according to Herzberg, can only motivate employees through the use of the aforementioned motivational factors (1968). Satisfaction comes from experiencing the motivators within the framework of the job.

Definition of Operating Environments

There are many factors that play into the development of a successful management technique. One of which sometimes goes without notice is the operating environment. As Tom Burns and G.M Stalker discovered in their study of 20 industrial organizations, the operating environment whether *stable, changing, or innovative* dictates to an organization the management style it should employ (1961).

A *stable environment* can be characterized by the following:

- The demand for an organization's product is stable and predictable.
- There is an unchanging, stable set of competitors.
- Technological innovation and new-product development are evolutionary rather than revolutionary, in that required product changes can be predicted well in advance and the required modifications made at a leisurely pace.
- Government policies regarding regulation of the industry and taxation are stable and change little over time.

Burns and Stalker go on to suggest from their study that *stable environments* as described above were best suited for companies with centralized decision-making, a policy and regulation driven control network to govern production, and highly efficient, specialized division of labor throughout the organization. Coordination was achieved through strict adherence to the chain of command (1961).

A *changing environment* can be characterized by the following:

- Demand for the organization's product/service fluctuates but can still be predicted with some accuracy several years in advance.

- Competitors enter and leave the industry, but although these changes can affect the firm's demand, the effects are usually not drastic.
- Technological innovation and new-product development proceeds in an orderly, sequential fashion, with required changes well understood a year or more in advance.
- Government policies regarding regulation and taxation are changing, but these changes can be generally predicted well in advance and planned for.

Organizations operating with this environment avoided strictly defining job roles, leaving employees to decide what their own roles were to support the organization's goals (Burns and Stalker, 1961). Through their self-defined contributions, employees saw themselves supporting not only their responsibilities, but participating in the achievement of the overall organization's tasks. Controls were realized through committee meetings and therefore not much reliance on the formal chain of command.

An *innovative environment* can be characterized by the following:

- Demand for the organization's product or service can change dramatically, sometimes overnight, as competitors introduce radically improved products.
- Sudden, unexpected changes occur in the nature of the organization's competitors.
- There is an extremely rapid rate of technological innovation and new-product development. Organizations in innovative environments usually rely heavily on research and development for their survival.
- Government policies regarding regulation and taxation are evolving quickly, trying to keep pace with the stream of new, more technologically advanced products.

The firms that operated in this type of competitive environment were found to completely avoid defining exactly what each employee would do (Burns and Stalker, 1961). By doing so, these firms benefited from the employees' talents, as they were willing to share them. This offered more flexibility in the firms' capacity of servicing exactly what the customer needed,

wanted, or expected. Employees tended to rally around common points of interest, like the company's beliefs and goals. This trust in the employees gives the company the capacity to react quickly and unbureaucratically to the changing requirements of its customers and the overall market/environment. The control mechanism was the free communication used by employees and management to solve constant influx of problems/opportunities.

The stable environment as described in this study was found to support the mechanistic management system as described by Burns and Stalker. And the freer form, organic management system is required for innovative/technology-based organizations to remain competitive, flexible, and quickly reactive to the changing environment in which they operate.

Mechanistic/Organic

Tom Burns and G.M. Stalker first described two forms of management as *mechanistic* and *organic*. Each is characterized by completely opposite ideals and represents different environments for which they will flourish. First, the *mechanistic management system* can be defined by (1961):

1. a close adherence to the chain of command
2. a functional division of work, through which the problems and tasks facing the concern as a whole are broken down
3. the highly specialized nature of each task
4. the use of the formal hierarchy for coordination
5. detailed job descriptions that provide a precise definition of rights, obligations, and technical methods for performing each job
6. a tendency for interaction between employees to be vertical; i.e. between superior and subordinate
7. a tendency for operations and working behavior to be governed by the instructions and decisions issued by superiors.

The traits of a mechanistic system are very prominent in the bureaucracy described by Weber (Burns and Stalker, 1961). And both are indicative of most governmental agencies. While private sector companies strive to obtain and then maintain leadership in their respective markets in the spirit of competition, most government agencies rely on rules and regulations, congressional directives, and public support (all of which are slow, evolving control mechanisms) to dictate their management system. Due to the public perception of enormous amounts of red tape, the government has become the cornerstone example of a bureaucracy.

There are, however, agencies that deal with revolutionary technology in a market of shrinking budgets and growing competitors. These agencies would benefit from what Burns and Stalker identified as an *organic management system*. An organic organization can be defined as (1961):

- very little preoccupation with the chain of command
- a more realistic, divisional-type division of work
- less rigid definition of job duties; removes the barriers from employees and encourages their participation regardless of their primary responsibilities
- a less structured network of communication, less formal communication
- lateral rather than vertical communication and an emphasis on consultation rather than command; communication generally consists of information and advice rather than instructions and decisions
- a pervasive commitment to the organization's task that motivates employees to maintain self-control (as opposed to having performance controlled solely through a system of rewards and penalties, as is often the case in mechanistic organizations).

As indicated before, the organic structure will be more responsive to the customer needs, quicker to react to market conditions, and more flexible to internal/external influences than the mechanistic structuring system.

Organization and Coordination

There are three elements that must be present to define an organization (Bernard, 1938):

- People must be able to communicate with each other (Communication)
- There must exist people who are willing to contribute (Willingness to Serve)
- There must be a common goal/purpose for which people are contributing (Common Purpose)

The key to effectiveness and efficiency is to form a group of willing and capable people, aligned by a common purpose with the capacity to communicate and share information. These three ideas in concert determine the overall effectiveness of an organization to achieve the common goal.

Structure is the fundamental element of any organization. It constitutes the skeleton for combining the other organizational elements: purpose, technique, people, and communication. The way an organization is structured plays a very important role in how effective its members can be. Traditionally, rigidity and formality characterized the structure of organizations, however, modern systems philosophy stresses flexibility in designing organization structures (Shrode and Voich, 1974).

Newer, more flexible type organizations have been labeled *adaptive-organic* by Warren Bennis, as opposed to the more mechanistic type organization structure represented by the traditional bureaucracy (1966). This characterization reflects the viable, dynamic nature of an organization, which, like any living thing, must adapt to its ever-changing environment. Ralph Hower and Jay Lorsch contrasted the various characteristics of organic and mechanistic organizations (1967).

<i>Index of Organizational Characteristics</i>	<i>Adaptive-Organic</i>	<i>Mechanistic-Bureaucratic</i>
Number of levels of authority	Few	Many
Position-based authority	Low	High
Knowledge-based authority	High	Low
Span of Control	Wide	Narrow
Ration of administrative to production personnel	High	Low
Degree of Centralization in decision making	Low	High
Specificity of goals	Low	High
Specificity of activities	Low	High
Range of skill levels	Narrow	Wide

Table 2.1 – Comparison of organic and mechanistic relative to the organizational characteristic.

Functional Departmentation

The functional form creates positions on the basis of specialized activities (i.e. Marketing, Legal, Engineering, Comptroller, etc.). These activities are then grouped around the elemental functions that the organization must accomplish. Figure 2-1 displays a typical functionally aligned organization. The functional form can potentially become very tall depending on the specialization and division of labor.

Obviously, there are advantages to aligning along corporate functions. It is rational to organize around basic functions and therefore the functional form is simple, straightforward, and a logical way to organize. Most functional organizations have single large groups such as Sales, Finance, and Legal that serve the entire organization and all its products or services. These large functional groups become more efficient as they realize economies of scale (from doing the same job repetitively). And because functions are consolidated into functional groups, there tends to be less duplication of effort. Managers manage specialized functions, and therefore the individuals can progress up the chain from within their functional channel. Because functional managers only need information pertaining to their function, senior management can exercise tighter control over the activities of the functional managers (Dessler, 1995).

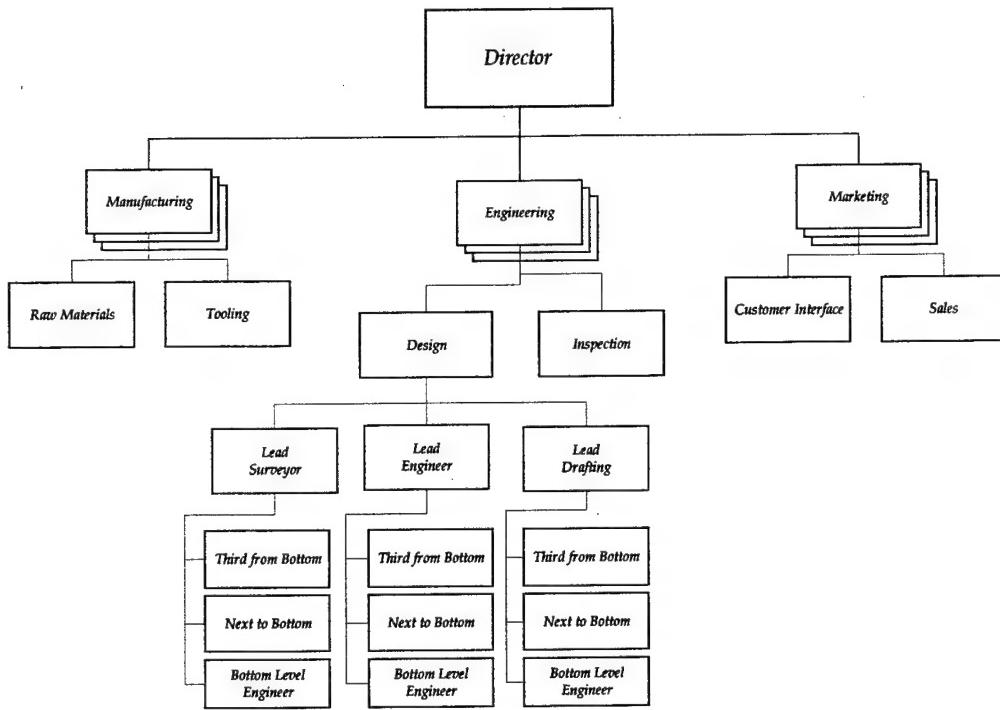


Figure 2.1 – Typical functionally aligned organization chart.

Where there are advantages, there are disadvantages as well. Because the organization is broken into functions, the president is the only common "boss" of every function and, therefore, is solely responsible for performance. In the case of a small organization, this may not be a burden. However, as the organization grows and diversifies the task of coordination may prove too great for one person to effectively perform. What was an advantage in one light (efficient functional managers grown from within) can also be considered a disadvantage. These functional managers do not have the expertise or breadth of experience to move into senior management and therefore realize a ceiling and force the organization to look outside for capable leadership. The table below summarizes the advantages and disadvantages (Dessler, 1995).

<i>Advantages</i>	<i>Disadvantages</i>
Managers are functionally specialized and therefore more efficient	Responsibility for overall performance lies with CEO alone
Less duplication of effort	Can overburden CEO
Increased returns to scale	Reduces the attention paid to specific products, customers, markets, or areas
Training is simplified	Results in functionally specialized managers
Simple and proven over time	
Facilitates tight control by CEO	rather than "general" managers

Table 2.2 – Advantages and disadvantages of the Functional Form.

Matrix Departmentation

With the matrix departmentation, a group of product or project teams are superimposed onto a functional structure (Dessler, 1995). The typical matrix organization chart is displayed in Figure 2.2. Each project/product office has a manager in charge of that particular project. The project managers have the authority and the resources to complete the project or product that they manage. A multidisciplinary project team is temporarily formed by assigning personnel from the functional chain until the project is complete. Upon the completion of the project the team members return to their functional departments for reassignment.

This organizational form has many advantages and disadvantages associated with it. First, it ensures a self-contained group can devote all its efforts to the project; while the entire organization is not required to permanently organize around what are temporary projects.

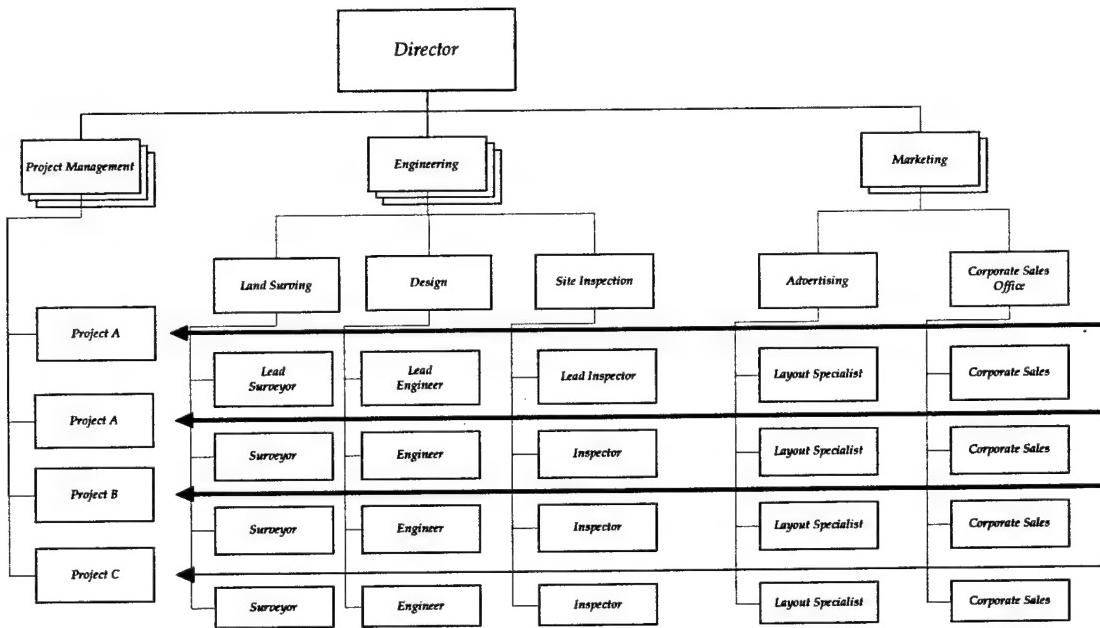


Figure 2.2 – Typical Matrix structural form.

Second, management avoids establishing multiple functional departments for each of many projects and, therefore, duplication of effort is minimized (Dessler, 1995).

Matrix organizations have proven to be very successful. However they are subject to a number of potential problems that can lead to failure (Dessler, 1995):

- *Power struggles and conflict.* Because authority tends to be ambiguous in the matrix organization, the project managers and functional departments can potentially disagree on a number of issues – allocation of resources, personnel issues, and organizational priorities.
- *Time consuming.* Matrix organizations result in more intragroup meetings for coordination purposes and therefore often seem indecisive and time consuming.
- *Multiple supervisors.* Employees assigned to a project team essentially have two supervisors. One that is charged with completing a temporary project through the efforts of the employee. And another that pays their salary, provides performance

evaluations, and maintains their training status. Employees in this situation may experience loyalty issues.

- *Over tasking employees.* It is quite probable that employees will serve multiple project teams at the same time. Again, the employee may experience loyalty issues as well as less efficient work for each project.
- *Excessive overhead.* Administrative costs tend to rise due to the hiring of extra managers and secretarial help.
- *Collapse during economic crunch.* This structure flourishes during times of economic boom and withers during recession. This is attributed to senior management cutting superfluous costs – which could be attributed to the extra meeting and staffing in the project management chain.

Communication

Organizational communication deals with the effectiveness that an organization exchanges ideas and information (Dessler, 1995). It can take on many forms, such as written policies, procedures, and guides, and oral communication. Some organizations formalize their communication while others are more informal and less structured.

Even though organizations may have policies in place to assist in the control of information flow, it is the organization structure that dictates the effectiveness of the communication among employees (Dessler, 1995). The organization structure serves as a filter for pertinent communication. It restricts messaging to proper channels to ensure the amount of communication does not become distracting. On the other hand, this has lead to a serious problem in most organizations – the restricting of communication to formal channels. Dessler states, “Restricting communication to formally acceptable channels can lead to a lack of responsiveness (1995, pg 198).” To ensure the organization remains responsive it must use effective informal channels to exchange information.

Peters and Waterman found that in the excellent, innovative companies success was a byproduct of rich, informal communication (1982, pg 122):

The astonishing byproduct is the ability to have your cake and eat it, too; that is rich informal communication leads to more action, more experiments, more learning, and simultaneously to the ability to stay better in touch and on top of things.

Peters and Waterman go on to identify that the sheer volume and intensity of communication in the excellent companies are incredible, and are vastly informal. In addition, they describe several ways to encourage effective informal communication (1982).

- *Communication systems are informal.* For example, nametags with just the first name for everyone in the organization, lunchrooms with plenty of white boards to promote spontaneous brainstorming sessions, a campus-like setting where individuals of several different disciplines gather to discuss issues, all contribute to an informal information flow.
- *Communication intensity is extraordinary.* Meetings at the more successful companies are viewed as an open confrontation of ideas. No one holds back regardless of their status in the company. Everyone's input is valued and more importantly, expected.
- *Communication is given physical support.* The more effective companies have white boards and open offices to facilitate and encourage frequent, informal discussions. An open floor plan instead of closed offices fosters openness and communication from the top down. Most importantly, managers are strongly encouraged to get out among the troops and communicate both inside and outside their respective departments.

Walking about the excellent companies of Peters and Waterman's study, evidence would be found of informal groups from differing disciplines casually discussing problems and opportunities for improvement (1982). These companies actually use the intense communications

as a control mechanism. Rather than formalize it to control the employees, companies promote constant and informal communication to facilitate the information flow. Peters and Waterman found that the sharing of information to everyone ensured that these companies never strayed from their course.

Centralization/Decentralization

A centralized organization structure allows a single person or office to control the decision making power; while on the other hand, the decentralization corresponds to the institutionalization of delegating (Mintzberg, 1979). Centralization is the most comprehensive means of coordinating decision making for any organization. All decisions are processed through one person or office and then implemented through direct supervision. Centralization serves 2 functions. It can provide a control mechanism for the top managers. Those holding the highest level of responsibility can make all decisions. Secondly, centralization can allow a very efficiently run organization because there is only one office performing specific tasks. Hence, duplication of effort is minimized. The inherent problem with this mentality is the one person can only absorb so much information before their mental capacity is overloaded (Driver and Streufert, 1969). At that point the manager and organization would have been better off leaving the decision making power with multiple persons with the time and capacity to make a wise decision. Excessive centralization requires employees with the expertise and knowledge of the situation to refer decisions up to managers far removed from the day-to-day reality (Jay, 1970).

The idea of centralization and decentralization should not be viewed as two extremes, but rather the endpoints of a continuum (Mintzberg, 1979). Mintzberg goes on to describe several types of decentralization and their effects on an organization (1979).

- *Vertical and Horizontal Centralization.* Decisional power resides with one individual, the manager at the top. This manager retains both informal and formal

power making decisions himself/herself and then implements through direct supervision.

- *Selective Horizontal Decentralization.* Typically bureaucratic organizations employing vastly unskilled labor and relying on standardization of work practices for coordination are found embracing this concept. The technostucture, used to standardize work through policy development, among other means, is provided with informal power to assist in controlling the operators through standardization. The formal power remains in the hands of senior management.
- *Limited Vertical Decentralization (Parallel).* Mostly found in divisionally aligned organizations where the division managers are delegated formal power to make decisions relating to their particular market.
- *Selective Vertical and Horizontal Decentralization.* Teams become evident at this state. Formal power is delegated to the middle line and depending on the technicality of the problem experts advise or form teams to produce a group decision.
- *Vertical and Horizontal Decentralization.* Decision making power resides primarily with the organization's workforce. The organization surrenders informal power to the schools and professional societies that dictate the standards of practice to the highly trained and professional workforce.

Integrating Principle

Rensis Likert studied many organizations and determined there are essentially two patterns of behavior when communicating – person-to-person pattern and group pattern (1961). The person-to-person pattern encourages subordinates to filter competitive information when in the presence of peers. Therefore, the peer group does not benefit from free-flowing communication and idea sharing. This practice fosters competition among organization factions that can actually be detrimental to the overall organization effectiveness.

The group pattern fosters strong motivation to communicate fully and accurately as everyone is evaluated on the overall performance of the group, not the individual (1961). This practice realizes the benefit that the group can sell an idea to an employer better than the individual. Finally, Likert identified that employees working under this practice are more motivated to assist peers when necessary. These team members directly relate their efforts and successes as the team's. In other words, the success of the team is more important than the individual's temporary workload.

Organizational Design

Henry Mintzberg goes into great detail describing the rationale that management should employ when determining *how* an organization is to be grouped. He defines grouping as "...a fundamental means to coordinate work in the organization (Mintzberg, 1979)." Through this statement Mintzberg is opening the door for any designer to organize around the fundamental processes that drive the organization's productivity.

Mintzberg contends that most organizations can be classified by five basic configurations: simple structure, machine bureaucracy, professional bureaucracy, divisional, and adhocracy (Mintzberg, 1979). He further states that hybrids and other forms probably exist, however, "...there are times when we need to caricature or stereotype reality in order to sharpen differences and so to better understand it." Therefore, the use of the basic structures can vastly improve the capacity to understand and analyze an organization.

Every structure type is comprised of five parts and the role each part plays determines which structural form is proper for the situation. The parts as Mintzberg saw them are Strategic Apex, Technostructure, Support Staff, Middle Line, and Operating Core (OC).

Senior management leads from the Strategic Apex with the long-term vision in broad view. They are responsible for establishing the corporate culture and providing a working environment conducive to obtaining the goals set by the organization. Middle Line management

provides the day-to-day direction for the organization and acts as the OC's conduit and interface with the Strategic Apex. Their core function is to provide full support for the OC, insuring they

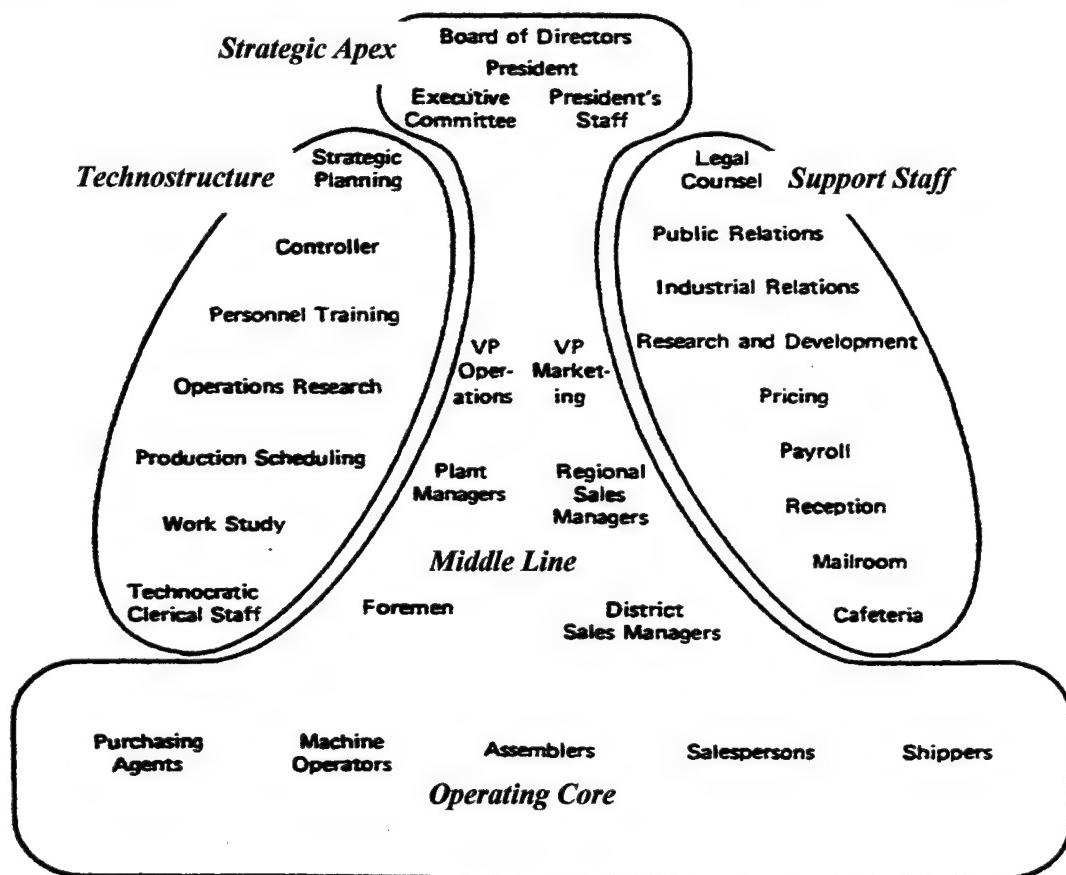


Figure 2.3 – The basic parts of an organization described by Mintzberg.

have everything they require to accomplish the organization's goals. The Operating Core is the workforce of the organization. They carry all the knowledge, expertise, and capability to achieve the organization's goals. The Technostructure (i.e. Personnel, Strategic Planning, etc) provides guidance to the OC in the form of corporate policies, procedures, and standards. Finally, the Support Staff accomplishes all the day-to-day operations/paperwork in support of the Operating Core, freeing them to focus on the core productive tasks in which they are experts. The support staff consists of offices such as Payroll, Legal, Mailroom Services, and Information Technology services.

In short, the Strategic Apex has an obligation to mold the support structure of an organization (Technostructure, Support Staff functions, and Middle Line Management) relative to the business environment *around* the operating core so that it can focus on optimum performance in pursuit of the organization's goals.

Simple Structure

The simple structure is anything the creators want it to be. It suffices for only the smallest of organizations where coordination and communication are accomplished with ease through very open channels. Typically, the organization is small with few participants (beginning businesses). The key element is the strong controlling mechanisms instilled by the entrepreneur/manager insuring sole control over all major decisions (Mintzberg, 1979). The senior manager's ability to directly supervise everyone makes this structure a very organic form. Grouping is typically on a loose functional basis, if required at all. Figure 2.4 provides an example of a simple structure. The operating core reports directly to the strategic apex with no middle line and very little support staff. This allows the communication to flow very easily and without any intrusion. This also allows the organization to remain flexible to respond to any customer wishes or environment changes (i.e. new competition, new technology, new customers, etc.).

This structure lends itself to the thousands of young microscopic businesses in practice today with few employees and a dynamic environment. Simple structure based companies typically demonstrate a strong sense of mission or corporate vision as their strongest trait.

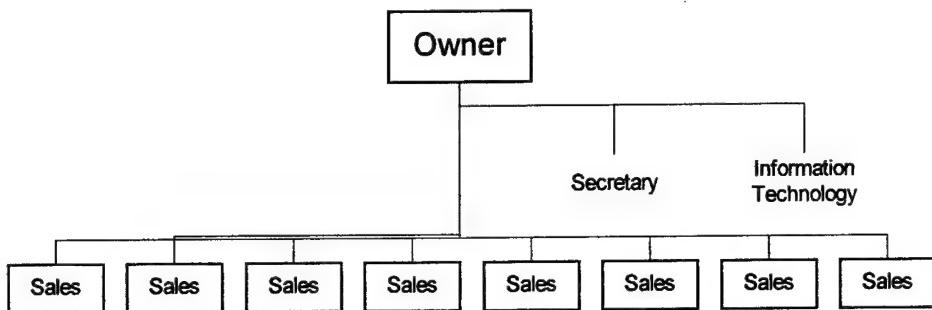


Figure 2.4 – Example of a Simple Structure.

Total coordination and communication is the control mechanism of strength in this organization form. The structure is flat with few to no levels of management between the owner and the workers. This characteristic keeps the organization flexible and capable of reacting to changes in the business environment.

Machine Bureaucracy (MB)

This is the structure that Max Weber had in mind when first describing a structure with standardized responsibilities, qualifications, communication channels, and work rules in conjunction with a clearly defined hierarchy of authority. Mintzberg described the basic structure as follows (Mintzberg, 1979, pg 315):

...highly specialized, routine operating tasks, very formalized procedures in the operating core, a proliferation of rules, regulations, and formalized communication throughout the organization, large sized units at the operating level, reliance on the fundamental basis for grouping tasks, relatively centralized power for decision making, and an elaborate administrative structure with a sharp distinction between line and staff.

The operating core performs highly repetitive and simple tasks, requiring a minimal amount of skill or effort. This leads to a sharp division of labor with narrowly defined jobs and an emphasis on standardization of work processes. Therefore, the pursuit of efficiency drives formalization of work behavior as the key design element. Due to the potential lack of

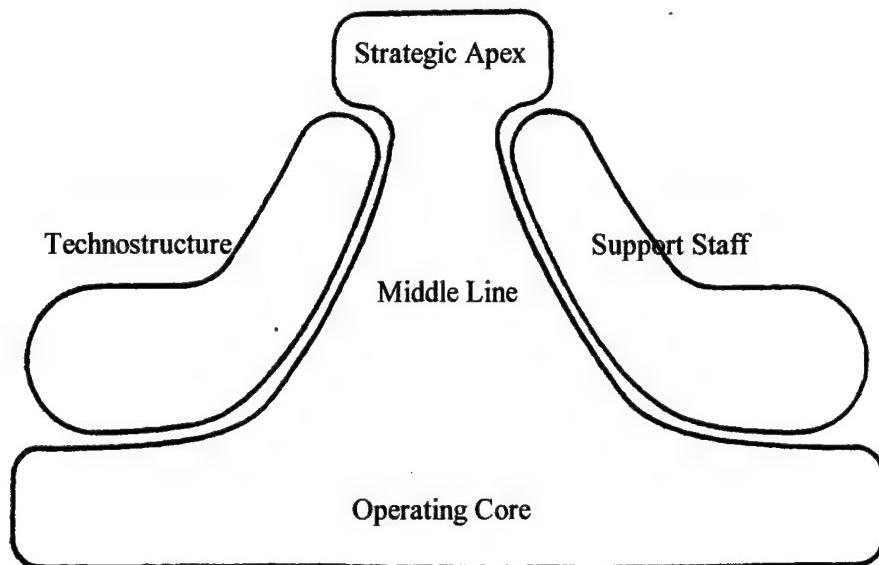


Figure 2.5 – The Machine Bureaucracy diagram.

motivation from the employees realized in part from the repetitive work, the first-line supervisors are not charged with coordinating work. Rather, they must provide direct supervision to ensure the work is actually getting done (Mintzberg, 1979).

The Technostructure surfaces as the key element in making this structure viable. Because this structure relies on the standardization of work practices for coordination purposes, the Technostructure is charged with providing the control mechanisms for the operating core. Formal authority and power follows the chain of command of which the technocratic staff merely advises. However, this group enjoys a substantial amount of informal power due to their highly influential participation on the standardization of work processes, (Mintzberg, 1979). It is at the expense of the first line managers' coordination capacity that the technostructure benefits. The institutionalization of formal work practices detracts from and actually deters the front line manager from leading the operating core toward the organization's goals. The technostructure covers every possible scenario in the highly predictable operating environment through publications, standards, and training regiments.

This standardization removes much of the expertise required of middle line in an effort to lead, however, three primary tasks remain. First, the middle line is charged with alleviating the inevitable conflicts that arise among the highly specialized workforce of the operating core. Because of the extensive standardization, informal communication and conflict defaults to the formal chain for resolution (Mintzberg, 1979). Many times the resolution of a simple process dispute on the line can lag as it is funneled up the formal ladder rather than quick solution delegated to the local level. Secondly, the middle line ensures the policy and standardized practices designed by the technocratic staff find their way into everyday life. Finally, they perform the role of liaison between the operating core and all other functions within the organization. These tasks limit the amount of superfluous time on the hands of the middle line. Therefore, these managers tend to supervise fewer individuals within their specialty and that leads to a thinner front line and taller organization altogether. A taller organization structure leads to a longer formal communication and coordination chain. This leads to less flexibility and slower reaction to external forces.

The main condition pushing organizations toward machine bureaucracies is a stable and simple operating environment (Mintzberg, 1979). The focus is on a small product line with minimally changing demand for those products. The near and longer term outlook is highly predictable with infrequent changes in technology or competition. It is not conducive to highly volatile environments where uncertainty is typically the only certain parameter.

Professional Bureaucracy (PB)

Several organizations are bureaucratic without being highly centralized in nature (Mintzberg, 1979). In this type of organization – universities, hospitals, and engineering firms – work is stable, therefore work processes can be standardized to improve efficiency. However the work is, at the same time, complex so the operator must provide the control in order to accomplish tasks. The Professional Bureaucracy relies a great deal on the operating core to

produce through the use of their expertise and skills. In a sense, the professionalism and specialized training of the operating core drives the necessary coordination to be effective. The professionals must work independently of their colleagues and very closely with the clients/customer and, therefore, have considerable control over their own work (Mintzberg, 1979).

As evidenced by the name, this form is still bureaucratic in nature. The difference between the Professional and Machine Bureaucracies is the nature of coordination. In a Machine Bureaucracy the technostucture accomplishes control through the design and implementation of standards developed within the organization. Standards of the Professional Bureaucracy are largely developed outside the organization through professional societies. These societies develop universal standards that govern common practices. Due to this reason, the Technostucture in a Professional Bureaucracy is very small. The Machine Bureaucracy relies on the authority from the hierarchy or power of office, whereas the Professional Bureaucracy emphasizes the authority of profession or the power of expertise (Mintzberg, 1979).

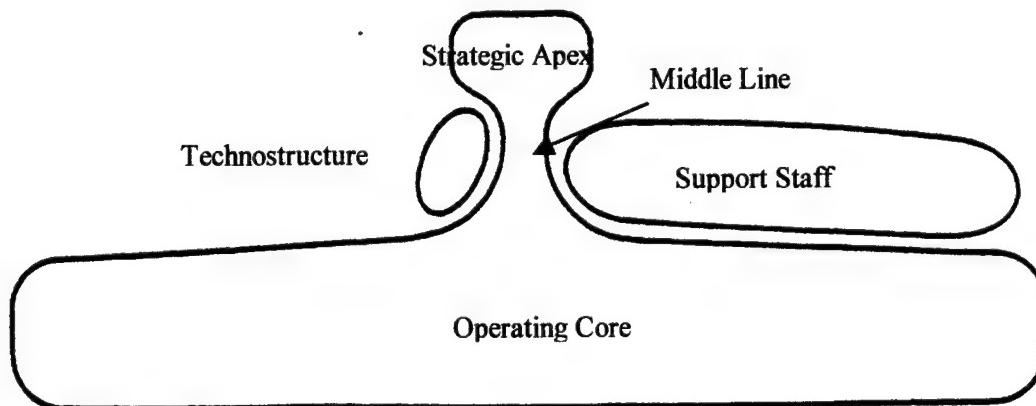


Figure 2.6 – Professional Bureaucracy diagram.

This structure tends to be very democratic which is appropriate given the professional workers in the Operating Core. With democracy comes a certain amount of autonomy, which

from a worker standpoint, leads to greater job satisfaction. The professional workforce will tend to be more motivated and highly responsible, dedicated to their work and their customers.

As with any structure type, the Professional Bureaucracy has drawbacks stemming from the same reason the organization realizes a highly motivated workforce, the democratic focus (Mintzberg, 1979). There are no organizational controls beyond those instilled from the profession. For example, coordination between the Operating Core and the administrative staff has a tendency to breakdown. The professionals feel they should be able to direct the administrative staff while the vertical chain and the Apex are the true authority. The staff is caught between two pulling powers, typically in the opposite direction. Many problems arise due to the non-integration of the Operating Core. The Operating Core functions as a unit only to draw from common resources. Beyond that they are not concerned with their peers. Finally, the Operating Core has a problem dealing with the development of new technologies or innovation. The idea of innovation promotes corroboration on the part of many individuals across many disciplines. It has been established that the professional core tends to not work well with peers from differing disciplines; therefore, the innovative process is stifled.

Like the Machine Bureaucracy, the Professional Bureaucracy lacks flexibility. It is well suited to produce standardized output, but far from optimum if the goals is an innovation provoking structure (Mintzberg, 1979).

Divisional Form

The divisionalized form differs from the other forms in one important aspect. A direct line cannot be drawn from the Strategic Apex all the way to the Operating Core. It more resembles multiple complete and self-contained organizations overlaid onto a master structure. In short, each division has its own structure. The basic concept is to group the divisions by customer or product line at the Middle Line level of the organization (Mintzberg, 1979). By segmenting each target market into its own "quasi-autonomous" entity, the organization avoids

the requirement of inter-divisional coordination. A typical divisional organization structure (Figure 2.7) has redundant functions horizontally, each one supporting its own vertical chain.

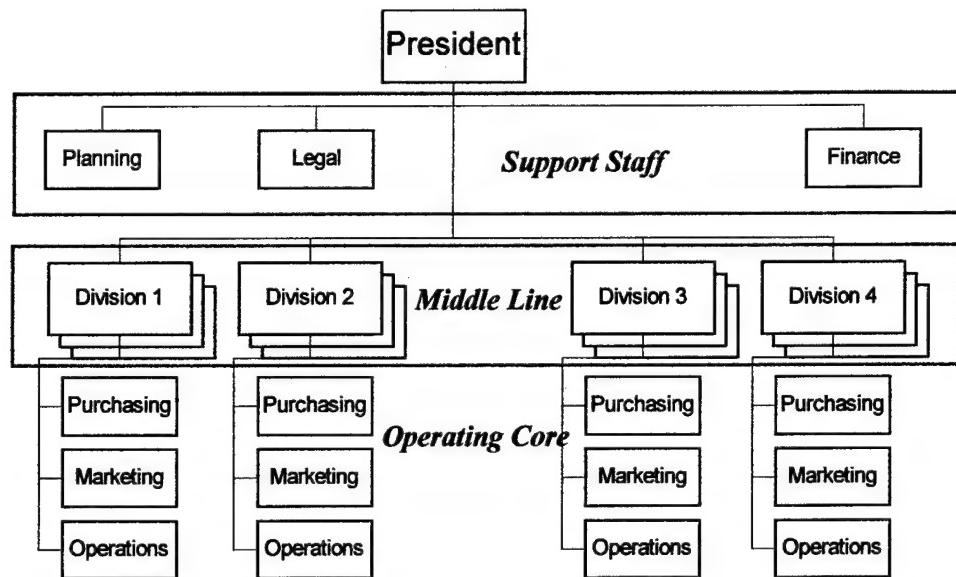


Figure 2.7 – Typical organization chart for a Divisional Form.

The obvious question is, "How can the organization remain viable, if each division has everything it needs to perform on its own?" Designed into this form are control mechanisms so the Strategic Apex maintains over-all control of the organization, while releasing enough power to each division so that it may perform autonomously in pursuit of its particular market. This is accomplished through the particular performance control system of each division (Mintzberg, 1979). Headquarters monitors the divisions' progress through a series of quantitative metrics in the form of sales reports, profit margins, growth relative to market, return on investment, etc. These metrics offer a way to normalize outputs from the many different divisions and compare on a one to one basis. More to the point, the primary coordinating function in this form is the standardization of outputs, and the key design parameter is the performance control system.

Other control mechanisms the Strategic Apex maintains include according to Mintzberg (1979):

- headquarters manages the strategic portfolio
- headquarters allocates all resources
- headquarters appoints and replaces the managers of each division
- headquarters monitors divisional behavior on a personal basis
- headquarters provides certain support services common to all divisions.

All these factors ensure each division's compliance, with the policies developed and implemented by the Strategic Apex.

The environment in which this form flourishes is similar to the Machine Bureaucracy, stable and low-tech environment. In fact, the Machine Bureaucracy is the form of choice for each division, because the particular market in which the division competes is typically stable and less complex than the parent organization (Mintzberg, 1979).

There are many advantages to this form over the other four. The following table identifies a few as well as some disadvantages (McCann and Galbraith, 1981).

<i>Advantages</i>	<i>Disadvantages</i>
Recognizes sources of interdepartmental interdependencies	May use skills and resources inefficiently (duplication of effort)
Fosters an orientation toward overall outcomes and toward clients	Limits career advancement by specialists to movements out of their departments/divisions
Allows diversification and expansion of skills and training	Impedes specialists' exposure to others within the same specialties
Insures accountability by divisional managers and so promotes delegation of authority and responsibility	Puts multiple role demands upon people and so creates stress
Heightens departmental cohesion and involvement in work	May promote divisional objectives as opposed to overall organizational objectives
Allows headquarters to allocate resources to the division with the strongest market	This form does not work effectively outside of the private sector
Diversifies risk	

Table 2.3 – Advantages and disadvantages of the Divisional Form.

Adhocracy

Mintzberg explains it best in this statement (1979, pg 432):

The simple structure can certainly innovate, but only in a relatively simple way. Both the machine and professional bureaucracies are performance, not problem-solving, structures. They are designed to perfect standard programs, not to invent new ones. And while the divisionalized form resolves the problem of strategic flexibility in the machine bureaucracy,... it, too, is not truly innovative. A focus on control by standardizing outputs does not encourage innovation.

Instead, innovation requires a completely different approach to organizing. The structure must be able to bring experts from different backgrounds and disciplines and coalesce them into "smoothly functioning ad hoc project teams," (Mintzberg, 1979).

The concept of the *adhocracy* is an organic, free-flowing structure, one with very little formalization of behavior; a tendency to group specialists in functional units for record-keeping but to deploy them in small, market-based project teams to accomplish work; and a reliance on mutual adjustment and liaisons to maintain coordination among the teams (Mintzberg, 1979). Innovation by definition is a leap from the established. Therefore, adhocracies cannot rely on standardization for coordination, nor a high level of formalized behavior, nor on formal planning and rigid control mechanisms. Instead, this structure must be programmed for spontaneity.

In the adhocracy, it is important to ensure continual intermingling of highly specialized individuals. Through this practice, the professionals crossbreed their skills and the creation of technical breakthroughs or innovation is imminent (Mintzberg, 1979). The standardized coordinating practices of the other structures would stifle the sharing of information and, in turn, make it cumbersome for innovation to propagate. The adhocracy avoids this pitfall by minimizing the importance of the traditional structural elements like chain of command, and substitutes them with an organization designed around small, market/project-based teams and an organic system of free-flowing communication. The adhocracy relies on the pervasive company culture to facilitate tight coordination. This culture embraces the fundamental philosophy and values of the organization and to which *all* employees have committed themselves professionally.

Mintzberg distinguishes between two different adhocracies, operating and administrative. The operating adhocracy focuses on creating a solution for the client through synergetic, multidisciplinary teams. This is where the operating adhocracy resembles the professional bureaucracy. However, they differ vastly in that the professional bureaucracy attempts to pigeonhole the problem into known parameters to which a standard solution applies. The adhocracy, on the other hand, practices divergent thinking to *create* an innovative solution unique to the client's problem (Mintzberg, 1979).

A distinguishing feature of the operating adhocracy is the convergence of the administrative and operating work into a single effort. It is difficult to differentiate the planning from the execution of work, because both require the same specialized skills. As a result the middle line, operating core, and support staff functions all reside on the same project team (Mintzberg, 1979).

The administrative adhocracy strays from the operating adhocracy drastically, in that there is a great distinction between the administrative and operating functions (Mintzberg, 1979). It is still based in teams, however, the operating core is often cut away from the remainder of the organization.

Management of adhocracies differs from that of the other types of structures. In the adhocracy the line managers need to provide little if any direct supervision, rather they participate on project teams as the coordination element between teams (Mintzberg, 1979). In this case they act more as peers than as supervisors and their influence derives from their expertise and interpersonal skills rather than from formal position and authority.

The adhocracy is management's response to a dynamic and complex operating environment (Mintzberg, 1979). A rapidly changing, complex environment, such as one in which an organization dealing in high technologies would operate, calls for an organic structure and decentralized form. The sum of the two environmental components is only satisfied with the employment of an adhocracy.

Organizational Example

Team-based government organization

Mr. Paul Lahoud granted a telephone interview through which he described the Corps of Engineers (COE) Special Purpose Office. The organization employs roughly 600 personnel and primarily concerns itself with projects that do not fit into one of the 38 district offices. The organization was established 30 years ago to support the building of the national missile defense. As time passed, the organization grew and took on more functions. At first, the projects were large and stable. And as the organization grew, they began to assume smaller projects with more requirements. The organization realized that the business environment had changed, however, the organization was still rigidly structured around the initial mission, values, and culture under which it was established. As it became clear the organization served itself ahead of the customer, the COE embraced the idea of change.

The COE understood they needed a structure that allowed fast, flexible teams to form and then reshape as requirements dictated. Ultimately, the organization adopted a matrix form, which enabled quick reacting horizontal teams to draft personnel from the functional chain as needed. This change required a complete overhaul of their culture and started with the commander's complete commitment.

It started with the senior management's public display of commitment to the new focus. The organization adopted the Malcolm Baldrige National Quality Award topics as a business model to guide them through establishing a new structure. The COE altered the employee appraisal process to include a peer evaluation segment. This offered a complete look at an individual's focus and effectiveness from a peer (team member), customer, and supervisor point of view. Finally, the COE established metrics that actually measured performance in lieu of the downward directed measurements that really did not evaluate continuous improvement.

During the transition, the COE realized a few restrictions that impeded the change process. First, the functional employees felt threatened due to the new evaluation process. For

years, these employees have held expectations derived from functional (vertical) processes and performance. The new team-based evaluation process monitors loyalty to a different process and the employees did not truly accept this new evaluation procedure at first. The COE realized severe resistance at this point, which the organization quelled with training and education. Second, because change does not occur quickly, there was concern about the priority change when the military commander left after his tour of duty. This is a problem all government organizations face due to personnel requirements. After COE embraced the idea that the change was a long-term event, they were able to focus on continuous commitment and this provided the leverage to transition to their current commander merging his priorities with those of the long-term organization vision.

Absolute necessities outlined by Mr. Lahoud for a successful beginning include: 1) *Senior management commitment*. Without their unbiased support and commitment, the effort will fail. 2) *Employee and organizational evaluations must reflect the organization values*. This provides extra incentive for employees to embrace the change. 3) *The award/reward system must affirm the organizational values*. Again, the reward system is another avenue through which the organization can communicate what is important.

Army Process Improvement Criteria (APIC) Introduction

The Malcolm Baldrige National Quality Award Criteria for Performance Excellence criteria form the basis for the Army Performance Improvement Criteria (APIC). The APIC rewards the Criteria to fit the unique nature of the Army Mission. It uses the applicable business principles embedded in the Criteria to continuously improve the Army's ability to efficiently create combat power in peacetime and war. The APIC connects the elements of combat power (maneuver, fire power, protection, and leadership) created by Army organizations in peacetime to the elements of combat power created by Army units during war and operations other than war. Efficiently managed child day care centers, post range operations, digitized Army classrooms,

acquisition operations, etc., enable individual soldiers and tactical units to accomplish their missions before, during, and after war. The goal of the APIC is to improve the overall effectiveness and efficiency of Army organizations in delivering continuous value to customers, resulting in mission success.

The Criteria, as stated in the APIC, are built upon a set of core values and concepts. These values and concepts are the foundation for integrating key performance requirements within a results-oriented framework.

- *Customer-Driven Quality.* Customers define quality. Customer-driven quality addresses not only the product and service characteristics that meet basic customer requirements, but also includes those features and characteristics that enhance them and differentiate products and services from competing offerings. This also demands awareness of developments in technology and of competitor's offerings, and rapid and flexible response to customer and mission requirements.
- *Leadership.* The senior leaders need to commit to the development of the entire work force and should encourage participation, learning, innovation, and creativity by all employees. Through their ethical behavior and personal roles in planning, communications, review of organizational performance, and employee recognition, the senior leaders serve as role models reinforcing values and expectations, and building leadership and initiative throughout the organization.
- *Continuous Improvement and Learning.* Achieving the highest levels of performance requires a well-executed approach to continuous improvement and learning. The term "continuous improvement" refers to both incremental and "breakthrough" improvement.
- *Employee Participation and Development.* An organization's success in improving performance depends increasingly on the knowledge, skills, innovative creativity,

and motivation of its work force. Employee success depends increasingly on having opportunities to learn and to practice new skills. Organizations need to invest in the development of the work force through education, training, and opportunities for continuing growth.

- *Fast Response.* Success in an era of downsizing, reduced budgeting, increasing operational deployments and global challenges demands ever-shorter cycles for introductions of new or improved products and services. Major improvements in response time often require simplification of work/task organizations and work processes.
- *Design Quality and Prevention.* To achieve high performance, organizations need to emphasize design quality. Problem and waste prevention is achieved through building quality into products and services and efficiency into production and delivery processes.
- *Long-Range View of the Future.* Successful pursuit of an organization's goals and mission requires a strong future orientation and a willingness to make long-term commitments to key stakeholders – customers, employees, suppliers, the public, and the community.
- *Management by Fact.* Army organizations depend upon the measurement and analysis of performance. Such measurements must be derived from the organization's strategy and provide critical data and information about key processes, outputs, and results.
- *Partnership Development.* Organizations need to build internal and external partnerships with customers and suppliers to better accomplish their overall goals.
- *Public Responsibility and Citizenship.* An organization's leadership needs to stress its responsibilities to the public and needs to practice good citizenship. These

responsibilities refer to basic expectations of the organization that include business ethics and protection of public health, safety, and the environment.

Results Focus. An organization's performance measurements need to focus on key end results.

If the mission is not achieved the processes have failed.

CHAPTER THREE

ANALYSIS OF CURRENT STRUCTURE

Survey Instrument

The instrument used to collect data for this project was adapted from an original tool developed by Captain Frank Mygiawa, United States Air Force. The survey was the focus of his CAPSTONE project cultivating in a Masters of Engineering Management degree from the University of Alabama at Huntsville. After obtaining his permission, the tool was altered to include some demographic questions and then submitted to the Sensors Directorate.

The focus of the instrument was to gain the employees' understanding of the Sensors Directorate and its operating environment. Employees were asked to comment on their perceptions of the directorate's communication, leadership, accessibility to information, vision, competitive market, cohesion among work groups, goal-setting, risk-taking, reward system, decision-making practices, and motivation practices.

Response Rate

The response rate from the Sensors Directorate as a whole was 39.25 percent (42 of 107). To be more specific, the population outlined as 'core' employees had a 48.6 percent response rate, while the population labeled as 'matrix' responded at a 20 percent rate.

Due to the current structure of the directorate, the intent was to separate the data into two populations, core employee and matrix employee; however, there were not enough responses from the matrix employee pool to consider it as a separate sample. Therefore, the majority of the conclusions will be developed from compiled data, although, certain interesting comparisons will be highlighted.

See Appendix A for a copy of the original survey instrument and the responses received from the directorate.

Cross-section of respondents

As shown in Figure 3.1, Cross-section of Sensors Directorate Responses, the majority of the response came from the operating core or the team members.

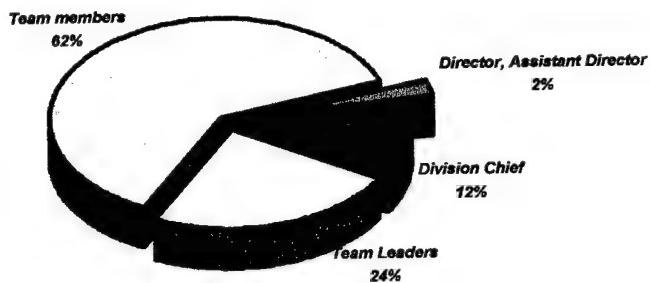


Figure 3.1 – Cross-section of respondents.

The current hierarchical structure in the Sensors Directorate provides evidence that the survey instrument was distributed and returned in such a manner as to represent the organization well. This suggests that each level was represented by the same percentage as in the organization itself. The average length of service to the government was between 11 and 15 years. On the other hand, the average length of service to the Sensors Directorate was between 4 and 6 years.

As Mintzberg explained, the definition of operating business environment is key to determining what type of structure an organization should embrace. The survey instrument determined the average employee perception of competition for Sensors Directorate (1 being no competition perceived and 5 being very heavy competition) was 3.83. Therefore the directorate operates in a fairly competitive, technology driven market.

Assessment of the data

This instrument, originally intended to gauge an organization's mechanistic or organic tendencies, provides an overall assessment of the Sensors Directorate. All questions on the survey instrument, with the exception to the demographics, contribute to the compiled description of the directorate as mechanistic or organic.

Each question's forced responses ranged from a typical situation found in mechanistic organization to one found in a truly organic atmosphere. For example, a mechanistic organization would assess the organization's communication system as somewhat restrictive, following a strict chain of command. An organic organization would describe the communication system is open and honest and flowing easily across all sections. By summing the total number for each category, the data can be presented in the form of Figure 3.2.

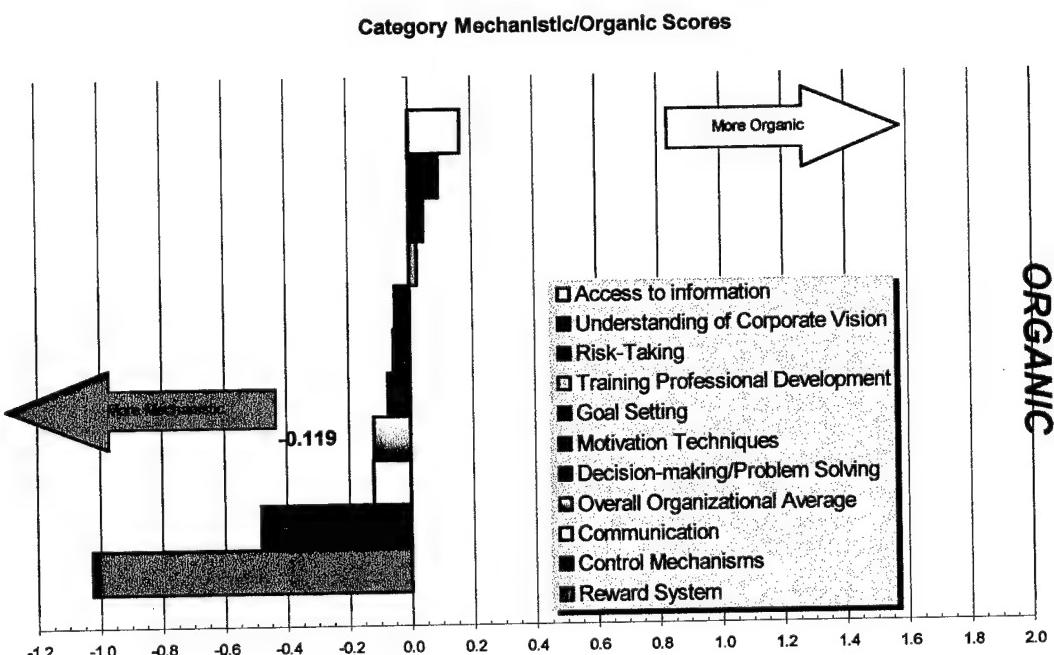


Figure 3.2 – Sensors Directorate Mechanistic/Organic assessment per category

A purely organic organization would have scored 2 on each question. A truly mechanistic organization would score -2 on each question. As shown in the chart, the directorate

has a tendency to practice in a mechanistic fashion in 6 of the 11 categories. Because this organization is part of the federal government, one might expect this type of response. However, the over-riding fact remains that this organization competes in a high technology arena with fast moving competitors and dwindling congressional budgets. Only one category, reward system, was weighted heavily toward mechanistic. A second category, control mechanisms, was mechanistic but to a lesser degree.

Reward System

Figure 3.2 demonstrates that the Sensors Directorate is the most mechanistic in their administration of the current reward system. It is interesting to note that 34 of 42 individuals surveyed identified that the directorate rewards individuals for individual performance. Through this practice, the organization is advocating individualism. Synergy states that the production of a group effort is greater than the sum of each individual production effort. By singling out individuals for recognition, the organization undermines the capacity and integrity of a synergistically organized group (team). Respondents overwhelmingly described the Sensors Directorate as having "Individual rewards for individual performance." In a team-based, organic organization the practice is to reward the team for organizational success and innovation attempts. This promotes a focus on the organization goals and away from personal and selfish objectives.

Control Mechanisms

Organizations employ control mechanisms to dictate/force personnel in the direction the organization deems most beneficial. An organic organization maintains the control function in its production/processes through strong values and culture that are so deeply ingrained in the employees that their internal desire for organizational success drives their performance in the best interest of the organization.

The Sensors Directorate relies heavily on rules, regulations, and policies that are downward directed from management. The responses showed a reliance on management plans and budgets as well. As evidenced by Figure 3.2, this area is also viewed as mechanistic.

Organizations with mechanistic control mechanisms react slowly to rapidly evolving situations, technologies, or environments. Controls in this type of organization are designed for stopping bad things from happening and to minimize mistakes. They do not reflect the new current reality of the Sensors Directorate. It is a long cumbersome process to alter rules and regulations in a mechanistic organization and have them distributed, the employees trained, and so on. All the while the technology or environment is being mastered by the leaner, quicker reacting organization with more organic controls, i.e. highly internalized corporate culture and strong, free-flowing communications.

Communication

To continue, the next 5 categories were only slightly mechanistic in score. However, the real message came from the fact that they were not organic in nature. Communication plays an immense role in an organization's organic control system. Employees must have access to free-flowing communication and information to ensure they are readily capable of handling problems or opportunities that can rapidly develop in the technology environment. Restricting communication can lead to a lack of organizational responsiveness.

The respondents believe that the communication flow lacked freedom and was somewhat restricted to formal channels. Because the organization structure maps an easy process for formal communications, many organizations allow this practice to become commonplace. Even though this category is not the most mechanistic per the survey instrument chart, it is an area the directorate should take very seriously. The mechanistic practice is to formalize all communication to ensure employees throughout the organization structure are standardized. Peters and Waterman, Mintzberg, Dessler, among others feel that communication is the basis of

any successful organization. It is the means by which technology is shared, the corporate culture is learned, and the organization gains agility and flexibility.

Information Access

Employees at the directorate rated their access to information as the most organic category of the survey instrument. Even though this category is more organic than others, it is far from an organic quality having a score of only .167. The responses to this particular question closely resembled a normal curve centered on a response of having "Some access to information." An organic organization would have responded, "Total and open access."

Corporate Vision

The survey instrument identified this category as the second most organic characteristic at the directorate, albeit only slightly. Vision is the first step toward developing a culture that promotes growth and prosperity. An organization must know two things, the current reality – where on a continuum is the organization situated, and the vision – where does the organization want to be. The difference between the two is *creative tension* (Senge, 1990). Creative tension focuses employees on the goal/vision and this is the control mechanism of choice in an organic organization.

Remaining Categories

The remaining categories, risk-taking, training and professional development, goal setting, motivation techniques, and decision-making/problem solving are just as important to overall organizational success. From the survey instrument, these categories scored very near 0, meaning they are neither organic nor mechanistic, rather a little of both.

The overall organizational average was compiled to offer a single number assessment. From a score of -2 being mechanistic to +2 being organic, the Sensors Directorate produced a score of -.119, which corresponds to a slightly mechanistic nature. As it was revealed in the

literature research, mechanistic organizations do not flourish in high technology, competitive, or rapidly changing environments.

The analysis showed that the Sensors Directorate was not as mechanistic as might be assumed from the first glance. Most categories were rather neutral, in between mechanistic and organic. The two areas needing more focus are reward structure and control mechanisms. On the other hand, the category showing slight organic tendencies was access to information. Overall, the list of categories showed little evidence of organic behavior.

Current structure assessment

Unlike most government organizations that receive their funding through the vertical stovepipe, the Sensors Directorate receives the vast majority of its funding through outside agencies. Due to this divergent funding stream the directorate's focus is split between two customers. Again unlike most government organizations where the mission requirements and downward directed focus comes from the vertical chain of command, the Sensors Directorate has conflicting external forces to distract from the vertical mission – supporting the war fighter. This has in the past and continues to cause an internal conflict of interest and confusion on corporate values. The vertical chain has requirements, but the funding source has requirements. Often these requirements are in opposition to each other.

Two follow-up questions asked were "Where the organization received its work requirements?" and "Where the value added outputs went?" In both instances, the response was to external agencies, just as the case with the funding.

Currently, the Sensors Directorate is organized functionally around technologies. Offices are comprised of core employees and phantom matrixed individuals. The interesting point is the matrixed individuals belong to the Sensors Directorate on paper alone and contribute little to the betterment of the directorate. Many, if not all, have never been to the directorate and could not state their mission or vision when asked in person. These individuals are kept on the manning

roster to ensure managers are supervising the required number of people to maintain the current grade structure.

The directorate's structure does not have a focal point for attracting new business. Each office supports the PEO structure as a technical expert. As such, the Sensors Directorate serves the PEO structure well with current requirements. However, if the requirements were to change rapidly, or require a new technology, the current structure would languish as evidenced by the survey instrument. Control mechanisms, communication, and decision-making/problem-solving all scored as slightly mechanistic which is not supportive of rapid change. Also, these functionally aligned offices have not the time, inclination, nor the expertise to lure new business.

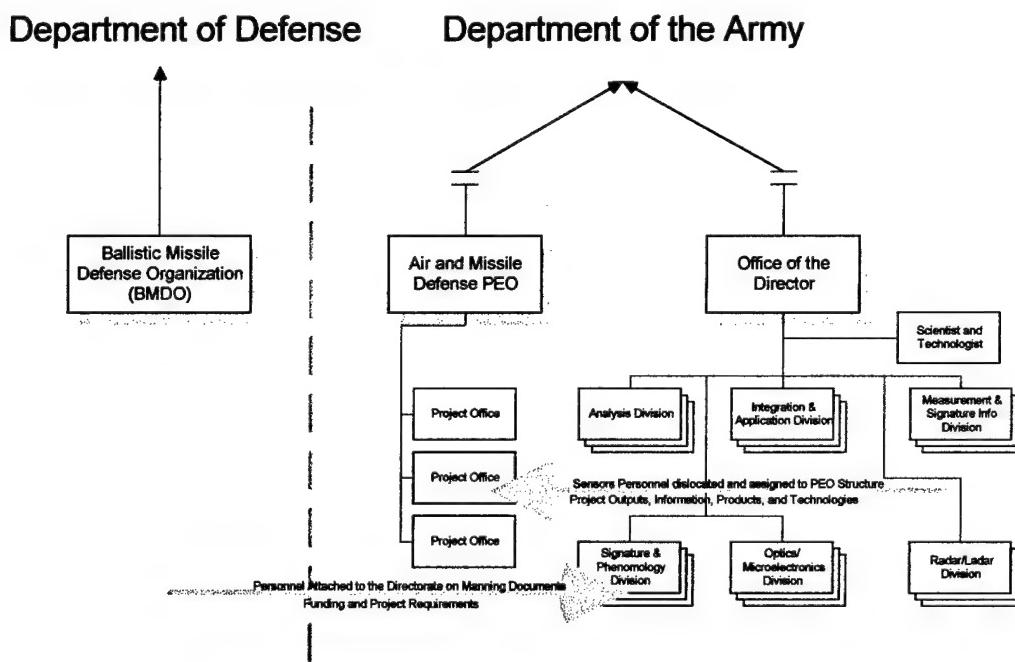


Figure 3.3 – Sensors Directorate current organizational structure.

The current rank structure of the directorate dictates the number of individuals a manager *must* supervise. With cutbacks in funding, the Sensor Directorate cannot afford to fund the number of employees to accomplish all required tasks nor maintain the grade structure. Therefore, the

matrixed employees *report* to a sensors division on paper and actually work out of a Project Executive Office (PEO) responsible for the completion of a directorate project.

APIC Specific

Under the leadership category, the APIC calls for information on the major aspects of leadership: creating values and expectations, setting directions, projecting a strong customer focus, encouraging innovation, developing and maintaining and effective leadership structure. Values are an organization's statement of their beliefs. They are the means by which an organization chooses to attack its goals. APIC wants *all* employees to understand and believe they are contributing to the organization's quest. To accomplish this task, leaders must obtain commitment from employees to these organizational values. The Sensors Directorate employees, at best, vaguely understand the organizational vision. The survey revealed that the organization is split between moderately understanding the vision and understanding it well. The APIC identifies the senior leaders as responsible for establishing the corporate culture that permeates the values and vision to all employees.

Senior leaders must create an organization that is flexible and responsive to rapidly changing requirements. APIC encourages leaders to establish a business environment where innovation thrives and creativity prospers. The survey instrument demonstrated that risk-taking, the pursuit of innovation, was slightly organic. In other words, employees felt like they could take small, low-cost risks. Risks, whether successful or not, serve as learning experiences for those involved. Therefore, risk-taking should be encouraged not stifled.

The APIC stipulates that organizations should be evolving, learning bodies. The Sensors Directorate scored slightly organic on Training and Professional Development. This is to say that they do not impede employees from continued education. However, a learning organization promotes and encourages training and education for its employees.

CHAPTER FOUR

CONCLUSIONS

Introduction

Lack of responsiveness to a rapidly changing, competitive environment will eventually force an organization to do one of two things 1) improve practices becoming more efficient and more responsive to the marketplace, or 2) cease to practice in that market. The days of bigger is better are over, at least within the competitive environment of high technology. In the rapidly changing, global economy, competition thrives and to be competitive an organization must be flexible, fast, and focused.

The Sensors Directorate is facing fierce competition from private industry and other government agencies for a shrinking congressional budget. It is becoming clearer that the customer will not continue to return based on habit alone. Big government mentality, where rigid policy, inflexible structure, and bureaucracy formulate a stable future, can no longer guarantee longevity.

Summary of findings

The assessment of the Sensors Directorate revealed several issues that the senior leadership should address. The organization is aligned by function. In a lesser complex, competitive, and technologically advanced industry, functional alignment may be preferred. Considering this does not describe the Sensors Directorate's operating environment, functional alignment only impedes the necessary organizational flexibility to remain competitive.

As shown by the survey instrument, the directorate tends toward Weber's bureaucracy more than Burns and Stalker, Peters and Waterman, and Mintzberg prescribe for organizations

operating in the complex, competitive environment. Incorporating bureaucratic practices into this type of operating environment fosters sluggish response, communication breakdowns, and a decline in competitiveness, all of which the Sensors Directorate has experienced.

An organization's reward system is a means by which that organization can enforce their culture and core values. In a competitive environment, the reward system should reflect a devout customer focus, one that reinforces the need for sharing information, innovation and teamwork. Currently, the Sensors Directorate rewards the individual for individual performance. This practice undermines the synergy created through teamwork.

In an innovative environment, communication and a tight value system defined for the empowered, committed employee provide the controls necessary to be and remain successful. The survey revealed that the directorate relies on policy manuals, rules and regulations, and management implemented directives/plans to keep employees focused on the unclear goals established by management. Information is power to a committed, empowered workforce. The opposite can be said about the lack of information. Without free-flowing communication, the otherwise innovative operating core becomes sluggish and not responsive to the customer.

The survey instrument identified that employees understand the business as one being derived through external markets and customers. On the other hand, the current organization does not support the efficient pursuit of current business requirements, nor does it portray a customer focus image required to capture new business. As this global economy continues to shrink due to competition, organizations without a proactive customer focus will fall to those that are focused in such a manner.

The purpose of the APIC award is to promote organizations to look internally for improvement. The Sensors Directorate has taken the first step by establishing a baseline from which it can measure improvement. Areas to track for improvement include: organizational leadership, strategy deployment, and work systems.

Groups use structure to organize what would otherwise be chaotic. The structure employed by the directorate impedes flexibility and promotes individualism as evidenced by the lack of group cohesion and the rewarding of individual acts outlined by the survey instrument. The overall assessment of the current organization structure is a slight tendency toward mechanistic practices. Even though the organization does not closely reflect one of Peters and Waterman's excellent companies, it is not in terrible shape; however, there remains room for improvement.

CHAPTER FIVE

RECOMMENDATIONS

Discussion

Even though the Corps of Engineers (COE) compete in a different industry, the structure and basic concepts toward organizational culture apply. Before preparing the functional organization for quick-reacting, flexible project teams, the COE went to their customers to see what was important to them. Because the customer defines and determines how well the organization performed, as evidenced by repeat business, it was important for the COE to restructure in such a way as to enhance the positive aspects of customer satisfaction and minimize the areas of dissatisfaction. After understanding what the customers expected, the COE identified the key core processes that fulfilled the customers' requirements. The project teams were realigned around those key processes. This strategy provided a more concentrated customer focus as the customer was now at the center of design.

The Sensors Directorate can employ this strategy and, through proper implementation, can realize an increase in environmental responsiveness. Figure 5.1 displays what the new Sensors Directorate organizational structure may look like. This form provides for ease of communication flow. Each team leader is on the next level team as a member (see Figure 5.1). This is known as Likert's Integrating Principle or linking pins (Likert, 1961). These team leaders/members provide the overlap from one working group to the next, both horizontally and vertically. The Sensors Directorate will realize both integration and coordination through the employees in these critical positions. With the employment of Likert's linking pins, the Sensors

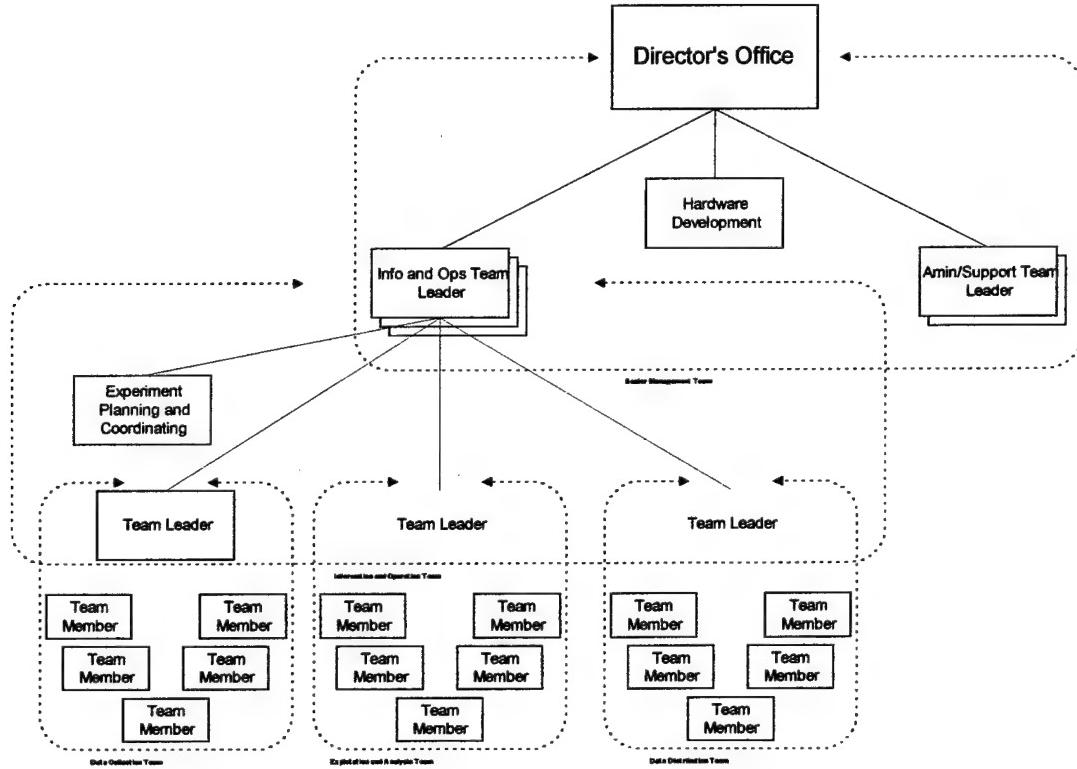


Figure 5.1 – Team-based Sensors Directorate.

Directorate gains a direct communication channel with the employees. Employees stand a better chance at internalizing the values of the organization when a conduit for their involvement exists.

By consolidating the six current divisions into two, the organization streamlines communication and coordination efforts. The effect here is all customer-focused work is completed in the operations team and the supporting team provides all indirect customer support to the operations' teams. This places the burden of customer interfaces in the office of the operations team leader. It had been mentioned that the Sensors Directorate would like to centralize this burden in an effort to simplify customer interactions. From the APIC standard, this would be viewed as a customer focus initiative. Currently, project members are responsible for customer interface. This promotes quick response to current customer needs but does not encourage future marketing. Fredrick Herzberg identified several factors that he considered motivating factors for employees (1968). As employees become accustomed to certain factors,

they no longer act as motivators. However, if ever removed those factors would actually detract from an employee's motivation. By removing responsibility from employees for whatever reason, their motivation may decline and it can actually detract from their job satisfaction. Another potential problem involves the centralization of the customer interface. To centralize this effort, may limit the support provided to customers on technical questions. The third concern is the burden placed on a single office in dealing with of all customer interaction. The level of technical expertise of each project would suffer. On the other hand, from a customer focus standpoint, centralizing customer interactions, regardless of project, simplifies the information flow to the customer. It also provides efficient information flow into the Sensors Director's office. Any funding entering the Sensors Directorate's organization would again be centralized through the operations team leader and then disbursed.

The key to success remains with the senior management. This group, the entire senior staff, sets the culture of the organization. During reorganization, the directorate must identify the processes that provide direct support to the customers and then organize around those processes. The directorate's customers should play a large part in determining these processes as they are and will continue to be the beneficiary.

APIC goals

When the APIC discusses leadership, it is not speaking solely of the commander/director of the organization, but rather the senior staff. Leadership as defined by the APIC guide is responsible for the following:

- *Creating values and expectations.* The senior staff defines the purpose of the organization and the characteristics, which should emulate the organization. The senior staff sets the vision, which is the organization's expectation for the future business success.

- *Provide direction.* Values that are communicated well in an organization, if understood by the employees, offer all the direction needed to obtain success. Guidelines for decision-making are part of the value system.
- *Project a strong customer focus.* APIC will view consolidating customer interactions into one office as positive. That effort will streamline information flow to the customers. However, a more positive approach would be to gain the customer input as to how the organization does business and is organized to deliver that business goal. An attempt should be made to find out exactly what the organization does well and poorly in the eyes of the customer. This demonstrates true effort to raise the level of support to the customer.
- *Encourage innovation.* Support more risk-taking, encourage team-based decision-making, and embrace informal communications across functional lines are all ideas to further innovation. These ideas must be addressed during the development of the organization's value structure. They should be addressed and reflected in the employee reward system. The reward system provides another avenue for management to communicate important concepts to the employees.
- *Flexible and responsive organization.* With a new organization structure that simplifies communication, incorporates synergy-based teams, and employs corporate values that reward risk-taking, team decision-making, and promotes continued learning, the Sensors Directorate will realize a faster, more focused, and flexible team.

The main intent of the APIC topic, Strategy Deployment, is effective translation and implementation of the organization's direction. Upon development of the strategic mission, the directorate needs to develop progress-tracking metrics that identify true performance. This

survey instrument should be used in describing the current reality of the organization from which it can measure progress.

Summary

The efforts of the Sensors Directorate during the survey period culminated into the following recommendation list.

- *Reassess corporate values and communicate them.* An organization can have the brightest, most dynamic workforce, but without a corporate vision and values to focus their efforts, the organization will realize little benefit. Therefore, it is paramount that the organization outlines the vision and values of the Sensors Directorate and then communicates them to every employee. The values will instinctively guide employees through their decision-making, problem solving, customer support, etc. to ensure the maximum benefit for the organization.
- *Reorganize around what the customer thinks is important.* The customer determines quality through their actions. It is imperative that any effort to reorganize is in the spirit of improving support to one's customers. Without the customers, the directorate has no future.
- *Team based structure.* Synergy states that the efforts of the whole are greater than the sum of its components. Each team should be aligned around a common goal, process, or customer requirement. As displayed in Figure 5.1, each team leader is on the next level team as a member, a linking pin. Therefore, all teams are linked together through the organization's overall mission.
- *Army Performance Improvement Criteria (APIC) specific.* The APIC challenges the leadership of an organization to create values and expectations, provide direction, project a strong customer focus, encourage innovation, and provide a flexible and responsive environment. A team based organization led by strong corporate values

and a reliance on communication and mutual accountability is everything the APIC prescribes.

To realize the full potential of its employees, the directorate must strive to incorporate more organic practices into everyday business. Senior leadership must design a corporate value structure, internalize the meaning of that structure, and then publicly and uniformly commit to those values. Without senior management support, an attempt to change the way an organization does business will fail. Employees need to be assured during times of change that the longevity of the organization is viable. They gain that assurance through the unity and belief the senior leadership displays.

A team-based structure along with a supporting corporate culture will provide the flexibility and responsiveness required to remain competitive in the rapidly changing technology market.

APPENDICIES

APPENDIX A

COMPLETED SURVEYS

Organizational Assessment Survey

(Estimated time to complete: 10 minutes)

The following survey will be used for an academic assessment. A third party will evaluate the survey and all answers will be kept strictly confidential. Individual survey answers will be grouped to determine trends. These trends will be used to analyze your organization's structure. However, NO INDIVIDUAL SURVEY DATA WILL BE RELEASED, so please answer honestly. This survey and the resulting analysis are an attempt to help identify any opportunities for improvement in how your organization is structured. Your assistance is greatly appreciated.

At the end of the survey, an additional space is provided for comments, clarifications, or recommendations to improve this survey. When completed, please save the document first, and then return the survey *DIRECTLY* to me via e-mail, fax, or U.S. Mail (snail mail).

	Email	Phone	Fax	Snail Mail
Stephen Blake	Steve_Erin@msn.com	(256) 461-9587	(256) 890-6608	1321 Grande View Blvd #2025 HSV, AL 35824

Instructions: There are 24 questions and one box for any additional comments. Please select THE ONE BEST ANSWER by selecting the box adjacent to the desire response. Using the mouse to navigate through the form, "click" the appropriate answers. Again, thank you for your time!!!
Ready....Set...GO!!!!

1. What is your position in this organization?

- Director, Assistant Director
- Division Chief
- Team Leaders
- Team members

2. How long have you been with the Sensors Directorate?

- Less than 1 year
- 1-3 years
- 4-6 years
- 7-9 years
- Greater than 9 years

3. How long have you been employed by the federal government?

- Less than 2 years
- 3-5 years
- 6-10 years
- 11-15 years
- Greater than 15 years

4. How do you fit into the Sensors Directorate?

- Core Employee working within the Sensors Directorate
- Matrixed out of the directorate

5. Where does your work group receive funding from?

- From the vertical chain of command
- From horizontal project teams
- From agencies outside the Sensors Directorate

6. Where does your immediate work group's inputs come from?

- Someone within your work group
- Someone in the vertical chain of command, but still within your division
- Someone outside your division, but still within the Sensor Directorate

- A completely separate organization; outside the sensors directorate
- 7. Where does your immediate work group's results go?**
- Someone within your work group
 Someone in the vertical chain of command, but still within your division
 Someone outside your division, but still within the Sensor Directorate
 A completely separate organization; outside the sensors directorate
- 8. How much access do you have to organization information, such as other projects, external competition, corporate values, and/or strategic plans?**
- Restricted access
 Minimal access
 Some access
 Access to most
 Total and open access
- 9. How does communication flow within your organization?**
- It doesn't. I feel like a mushroom.
 Formal communications down the chain only (policy letters, directives)
 Some formal communications, some informal from other sections, newsletters
 Mostly informal and open in and between sections; flows from many directions; usually open and honest
 Always open and honest; communications flow easily across all sections, up, down, and across all sections
- 10. Is your organization's vision:**
- Poorly understood? -- Don't understand how my job fits into the organization's vision.
 Moderately understood? -- I know what our vision is, but not sure about my role.
 Well understood? -- I understand our vision and how my job and group is helping to achieve it.
- 11. How does your organization accomplish organizational goal setting?**
- No goal setting accomplished. Responses are reactionary and change day to day
 Goals are developed at the top with no worker involvement and downward directed.
 Most goals are top down. Little worker involvement in setting goals.
 Goals are developed with upper management and some worker involvement.
 Goals developed and implemented by teams.
- 12. Do you feel risk taking is encouraged in your organization?**
- No risk taking here. If I do, it's resume time.
 Yes, low cost risk taking is tolerated, but the organization has many restrictions on it.
 Definitely, risk taking is encouraged and promoted by the organization.
- 13. What type of reward system is used in your organization?**
- Negative rewards—nothing when we do right, punished when we make a mistake
 Individual rewards for individual performance
 Individual rewards for team/organization performance.
 Some team-wide rewards and some individual rewards.
 Teams rewarded for team/organization successes and innovation.
- 14. How does your organization motivate its workers (select all that apply)?**
- Motivates by fear.
 Work benefits, working conditions, job security
 Financial rewards tied to achieving position objectives listed in job description
 Awards, job titles, public recognition
 Increase in authority, growth and advancement

15. What is the dominant leadership style used to get work done in your organization?

- Authoritarian; Attila the Hun style; management directs.
- Use of selling techniques
- Situational; management style varies with situation
- Consistent delegation of tasks and authority to get it done
- Participative and people orientated, listening to workers

16. How are decision making and problem solving accomplished in your organization?

- All decisions and problem solving are made at the top
- Mostly a centralized core make the decisions and do the problem solving
- Some decisions and solutions made centrally and some made by local level/office – depends upon the issue
- Most made at the local office level
- All decisions / problem solving made at the local office level

17. What types of personnel and decision systems are used to ensure employee compliance with the organization's requirements (for this question, select all applicable responses)?

- Policy manuals; rule & regulations; management implemented
- Adherence to management's plans and budgets
- Periodic comprehensive assessment against project goals
- Team controlled by using combination of milestones generated by the team and the organization
- Self control by using organizational values and work culture

18. What type of training and education is encouraged?

- None. We do it only if we want it.
- Only job related; management authorized selected program of study
- Management and worker select program of study
- Some not directly job related; management and worker jointly selects
- Direct and non-direct job related; selected by worker

19. Are you currently enrolled in or participating in training or educational classes while employed with this organization?

- No
- Yes

20. Is (has) management supporting (supported) your educational goals?

- No support—numerous work/school conflicts. Work is assigned despite known education schedules.
- Some support. Work obligations can be rearranged if necessary.
- Full support. Work schedules are actively arranged around class times.

21. How many are people are in your immediate work group?

- 1-3
- 4-6
- 7-10
- over 10

22. How would you rate your immediate work group's external competition (for funding) / external market on a scale from 1 - 5?

- 1 – No competition
- 2
- 3
- 4

5 - Very competitive

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Not clear what your survey is trying to determine. The organization is driven by BMDO funding, there is very little funding from other sources. Lots of plans, but no checks.

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I have not been with the organization long enough to be able to offer a valid answer to questions 13,14,18 & 20.

I don't know how these questions were generated but it does not seem to be applicable in many areas. I am not sure what constitutes a "Team", Work Group", etc..

I am somewhat surprised at amount of fear that is generated by BMDO on this organization. It appears that people are walking on egg shell trying not to offend someone at BMDO. This Command seems to be an executing agent with little input to the direction or applicable technical development needed to fulfil various needs. I am also amazed that an organization like BMDO can DIRECT a Major Army Command on the issue of personnel staffing. It would make more sense to require a specific job be accomplished using either in-house or contractor personnel rather than dictate the level of government personnel permitted. I have seen examples of tasks which could be performed better and at less cost internally or through other Army commands that have been contracted out due to quotas on internal staffing.

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Comments:

Q5-6-7. Funding comes from BMDO and from project offices although much of it is from BMDO. Requirements come from projects as well as generated within the contract for technology advancement and upgrades. Products feed into the projects and made available to the missile defense community.

Q13. Reward system. In times past everyone got a cash award the amount of which was based roughly on work performed over the pas year. Good workers got more. Now "pets" get money others do not.

Q15. Our division leader is usually gone. Persons who are acting chiefs do not have the background to judge program issues or concerns so there is very little guidance from the manager. Manager is not here to know whether to back up employee or not.. There are very few division staff meetings. Problem employees do not seem to be counseled because manager does not want to confront the issue. If they are counseled, there does not seem to be any change in problem employee behavior.

Q16. Some decisions are made on the employee level because the management is not here to provide guidance. Some decisions are made by time running out. Nothing decided so they work themselves out. Some decisions are made by higher level managers outside the directorate for political reasons, without consulting the workers that are the closest to the problem.

Q17. There is no consistant method to insure employee compliance with organization's requirement. Some people are watched very closely for their leave and work. Others have cronic attendance problems, or anger management problems and yet they aren't counseled at all or enough to show a correction to the problem. Many times things are not "against the rules" until someone breaks them and then they suffer from them.

Please type additional comments here

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*Response
#1*

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20. Is (has) management supporting (supported) your educational goals?

- No support—numerous work/school conflicts. Work is assigned despite known education schedules.
- Some support. Work obligations can be rearranged if necessary.
- Full support. Work schedules are actively arranged around class times.

21. How many are people are in your immediate work group?

- 1-3
- 4-6
- 7-10
- over 10

22. How would you rate your immediate work group's external competition (for funding) / external market on a scale from 1 - 5?

- 1 – No competition
- 2
- 3
- 4

5 – Very competitive

23. How would you rate the cohesiveness of your immediate work group from 1 – 5?

- 1 – No group cohesion. I just do the work and leave.
 2
 3
 4
 5 – Much sharing of info and resources (i.e. people and equipment)

24. How many people report to you?

- None / not applicable
 1 - 2
 3 - 5
 7 - 8
 Greater than 8

Please provide your additional comments. Here's your chance to be painfully honest. Let'em rip!!!

Please type additional comments here

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Organizational Assessment Survey

(Estimated time to complete: 10 minutes)

Res 5

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			1321 Grande View Blvd #2025 HSV, AL 35824

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- Team members

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- Less than 1 year
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- 4-6 years
- 7-9 years
- Greater than 9 years

3. How long have you been employed by the federal government?

- Less than 2 years
- 3-5 years
- 6-10 years
- 11-15 years
- Greater than 15 years

4. How do you fit into the Sensors Directorate?

- Core Employee working within the Sensors Directorate
- Matrixed out of the directorate

5. Where does your work group receive funding from?

- From the vertical chain of command
- From horizontal project teams
- From agencies outside the Sensors Directorate *BmDO*

6. Where does your immediate work group's inputs come from?

- Someone within your work group *I don't understand the question.*
 Someone in the vertical chain of command, but still within your division *what do you mean by inputs?*
 Someone outside your division, but still within the Sensor Directorate
 A completely separate organization; outside the sensors directorate

7. Where does your immediate work group's results go?

- Someone within your work group
 Someone in the vertical chain of command, but still within your division
 Someone outside your division, but still within the Sensor Directorate *The funding comes*
 A completely separate organization; outside the sensors directorate

8. How much access do you have to organization information, such as other projects, external competition, corporate values, and/or strategic plans?

- Restricted access
 Minimal access
 Some access
 Access to most
 Total and open access

9. How does communication flow within your organization?

- It doesn't. I feel like a mushroom.
 Formal communications down the chain only (policy letters, directives)
 Some formal communications, some informal from other sections, newsletters
 Mostly informal and open in and between sections; flows from many directions; usually open and honest
 Always open and honest; communications flow easily across all sections, up, down, and across all sections

10. Is your organization's vision:

I know what my group is about.

- Poorly understood? – Don't understand how my job fits into the organization's vision.
 Moderately understood? -- I know what our vision is, but not sure about my role.
 Well understood? – I understand our vision and how my job and group is helping to achieve it.

11. How does your organization accomplish organizational goal setting?

- No goal setting accomplished. Responses are reactionary and change day to day
 Goals are developed at the top with no worker involvement and downward directed.
 Most goals are top down. Little worker involvement in setting goals.
 Goals are developed with upper management and some worker involvement.
 Goals developed and implemented by teams.
Unknown

12. Do you feel risk taking is encouraged in your organization?

- No risk taking here. If I do, it's resume time.
 Yes, low cost risk taking is tolerated, but the organization has many restrictions on it.
 Definitely, risk taking is encouraged and promoted by the organization.
I don't know

13. What type of reward system is used in your organization?

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 Individual rewards for team/organization performance.
 Some team-wide rewards and some individual rewards.
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14. How does your organization motivate its workers (select all that apply)?

- Motivates by fear. *No motivation*
- Work benefits, working conditions, job security
- Financial rewards tied to achieving position objectives listed in job description
- Awards, job titles, public recognition
- Increase in authority, growth and advancement
It doesn't motivate

15. What is the dominant leadership style used to get work done in your organization?

- Authoritarian; Attila the Hun style; management directs.
- Use of selling techniques
- Situational; management style varies with situation
- Consistent delegation of tasks and authority to get it done
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16. How are decision making and problem solving accomplished in your organization?

- All decisions and problem solving are made at the top
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- Some decisions and solutions made centrally and some made by local level/office - depends upon the issue
- Most made at the local office level
- All decisions / problem solving made at the local office level

17. What types of personnel and decision systems are used to ensure employee compliance with the organization's requirements (for this question, select all applicable responses)?

- Policy manuals; rule & regulations; management implemented
- Adherence to management's plans and budgets
- Periodic comprehensive assessment against project goals
- Team controlled by using combination of milestones generated by the team and the organization *or lack of*
- Self control by using organizational values and work culture

18. What type of training and education is encouraged?

- None. We do it only if we want it.
- Only job related; management authorized selected program of study
- Management and worker select program of study
- Some not directly job related; management and worker jointly selects
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19. Are you currently enrolled in or participating in training or educational classes while employed with this organization?

- No
- Yes

20. Is (has) management supporting (supported) your educational goals?

- No support—numerous work/school conflicts. Work is assigned despite known education schedules.
- Some support. Work obligations can be rearranged if necessary.
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N/A

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The questions were hard to understand, showed little understanding of the work in general short, and often did not have an answer that applied.

To example #22. Are you asking how good is our competition or how competitive we are?

I think the goals of this ~~current~~ survey are good, I don't think as much will come from it as this strikes me as a poor instrument.

Organizational Assessment Survey

(Estimated time to complete: 10 minutes)

Ras /e

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6. Where does your immediate work group's inputs come from?

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- Restricted access
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- Some access
- Access to most
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9. How does communication flow within your organization?

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Response #7

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- From the vertical chain of command
- From horizontal project teams
- From agencies outside the Sensors Directorate

6. Where does your immediate work group's inputs come from?

- Someone within your work group
- Someone in the vertical chain of command, but still within your division
- Someone outside your division, but still within the Sensor Directorate
- A completely separate organization; outside the sensors directorate

7. Where does your immediate work group's results go?

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*Is organization the same as the
Sensors Directorate or Division?*

Response #8

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There are six folks in this group, one of which is our secretary. The Director of this group (GS-15) has UNOFFICIALLY!! designated a GS-14 in this group as the Deputy Division Chief. THIS HAS CREATED A MYRIAD OF PROBLEMS FOR TWO PLUS YEARS. However I try to solve various problems and the GS-15 ALWAYS defers me to the GS14 and "runs" and asks him for advice. The GS-15 is retiring at the end of this year, but in many instances he has left major decisions w/ the GS14 for TWO years plus. Neither one of these guys are risk takers. I'm 35 and perhaps may be planning to stay here, but these guys are afraid of traveling and talking w/ our customers face-to-face. I've felt that our budget increased if the GS15 would of allowed me to brief major decision makers (Generals) and spend travel money to do so. Instead, some things have to be done in "cogneto (sp)" while YET very legal. The GS15 does my evaluations, but CONSTANTLY defers me to the GS14 for approval, this makes one ask, What is the function of the GS15? Of course, this everyone will say the GS15 is retiring Jan of 00 so problem averted. The GS-14 has NO, again NO technical programs he is responsible for whatever. IT IS DEFINITELY A MISTAKE, BECAUSE SOMEONE IS A GS14, TO MAKE THEM TEAM LEADER. This has been in many cases "TRAGIC" and best case a "Castrophe", even ALL our contractors has noticed SIGNIFIGANT downfalls, but why say anything even if you're pennies on the dollars. However, on numerous occasions in the past, myself, and them have had numerous "run-ins" and we steer clear of each other somewhat. Basically I try to take RISK and want to take more, ALL OF WHICH ARE IN THE LEGAL CONSTRAINTS OF THE SYSTEM. In spite of current budget problems, these guys lack of "whatever" has recked this program. The Navy and Air Force have similiarprograms and they are funded twice to three times we are, WHY IS THAT?? Much of this I attribute to our Director not letting us take risk. The GS-14 is about 3 to 4 years from retirement. HE had no business being a Team Leader. The GS13's, of which I'm one, are LEADERS of our own programs but are not recognized as such when it comes to funding decisions. Instead attempts are made to delegate what we should spend, when they've had no inclination to find out or understand the program. Especially when other government labs are involved, that come under my domain, funding is attempted to be negotiated behind MY BACK!!! This causes friction to say the least. Bottomline, I want to make something out of this program and want to take risk, take on other programs. I'm not ready to retire.

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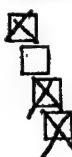
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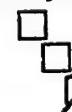
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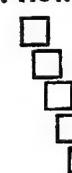
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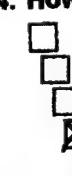
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- 7 - 8
- Greater than 8

Please provide your additional comments. Here's your chance to be painfully honest. Let'em rip!!!

I have 3-5 contractor personnel reporting to me, but no government.

This organization is hampered by the funding process through BMDO. It makes it very hard to be a coordinated entity when there are 10-20 or more different funding agents at BMDO for our group. Work groups objectives are at the whim of the BMDO PI and not Sensors Directorate management. This is not a reflection on Sensors leadership.

Personnel are allowed to market new ideas to BMDO and other agencies and these activities are coordinated with Sensors leadership. People are implicitly encouraged to find new sources of funding. I am not sure that finding new funding sources to 1:1 replace dwindling sources is rewarded. While I do not know, I would imagine that establishing entirely new efforts or greatly increasing funding for existing efforts would be awarded.

There is a perception that other areas within the SMDC TC such as the Weapons Directorate give much better bonuses to their personnel.

→→→Now before you do anything else.... *SAVE* this document!←←←

Thank you for taking the time to complete this survey. I appreciate your candor!!! Please e-mail the completed survey back to me at the following address:

Stephen Blake at steve erin@msn.com

APPENDIX B

SUPPORTING GRAPHS

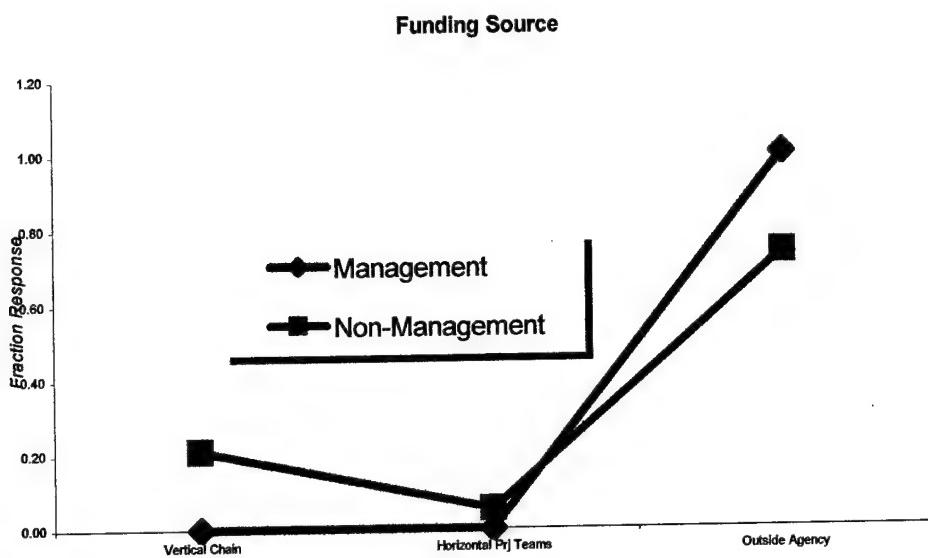


Figure B.1 – Sensors Directorate perceived funding source.

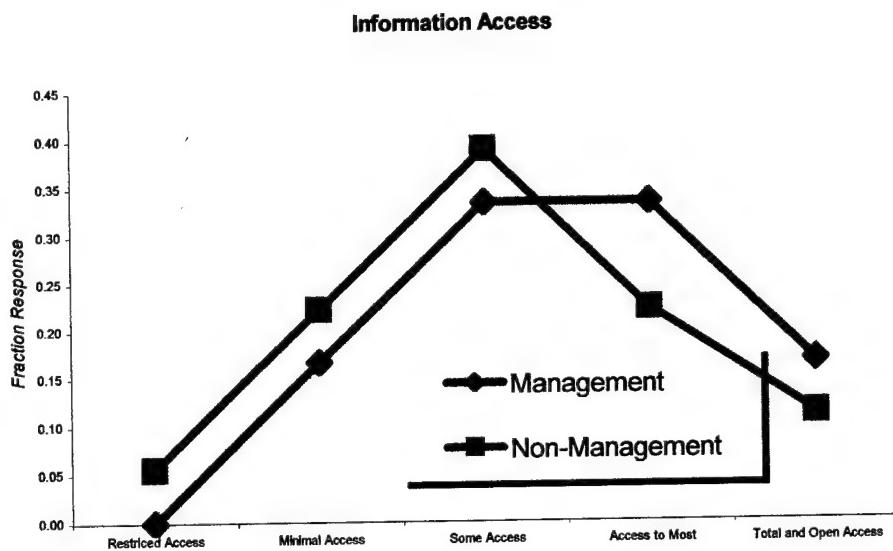


Figure B.2 – Sensors Directorate employee access to information.

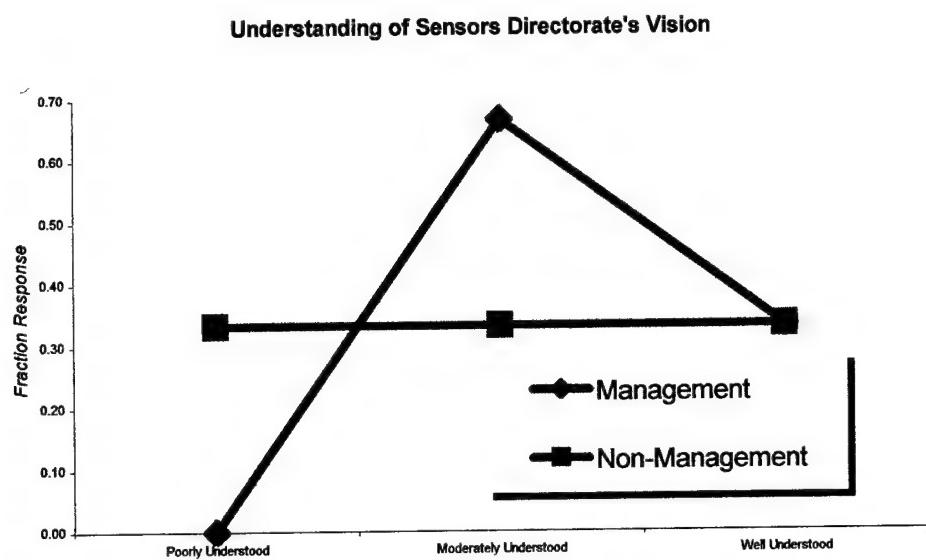


Figure B.3 – Understanding of Sensors Directorate's vision.

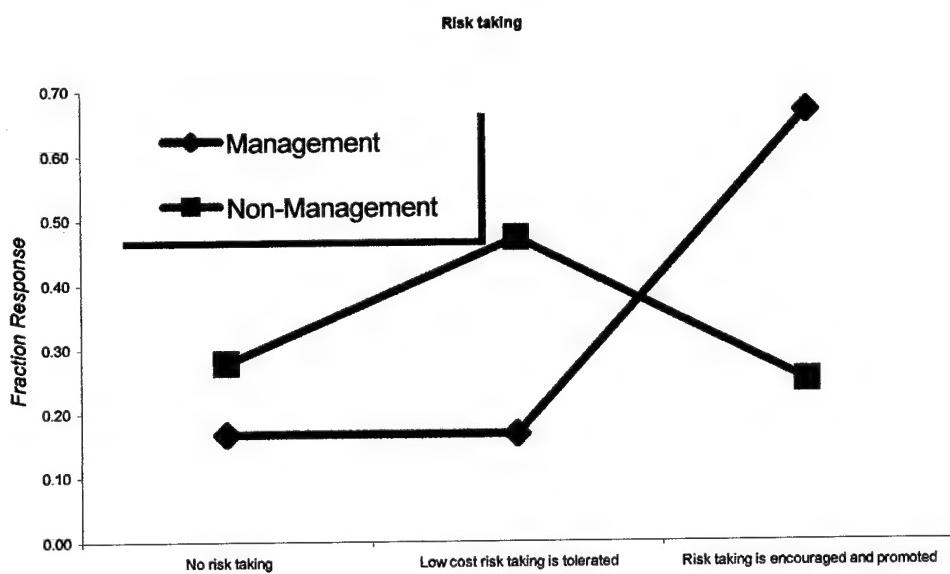


Figure B.4 – Perceived tolerance to risk taking.

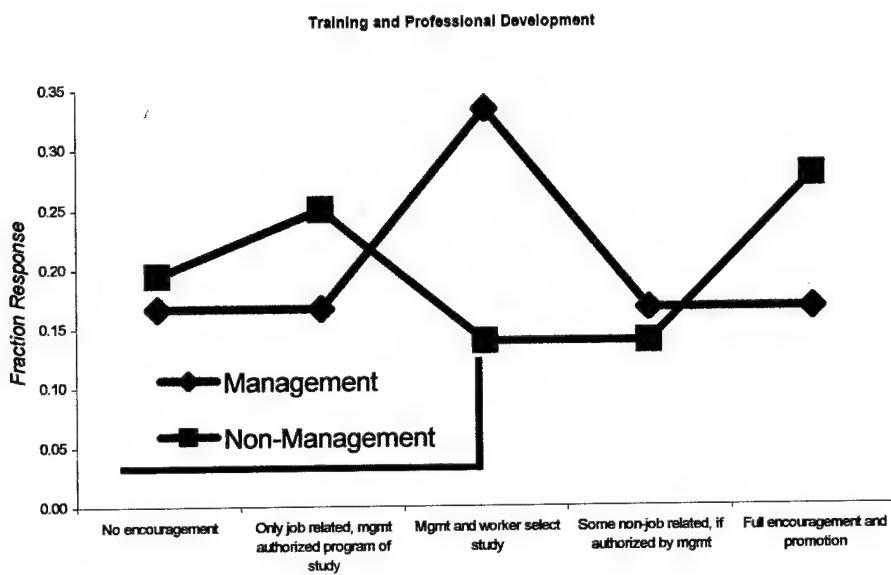


Figure B.5 – Training and professional development.

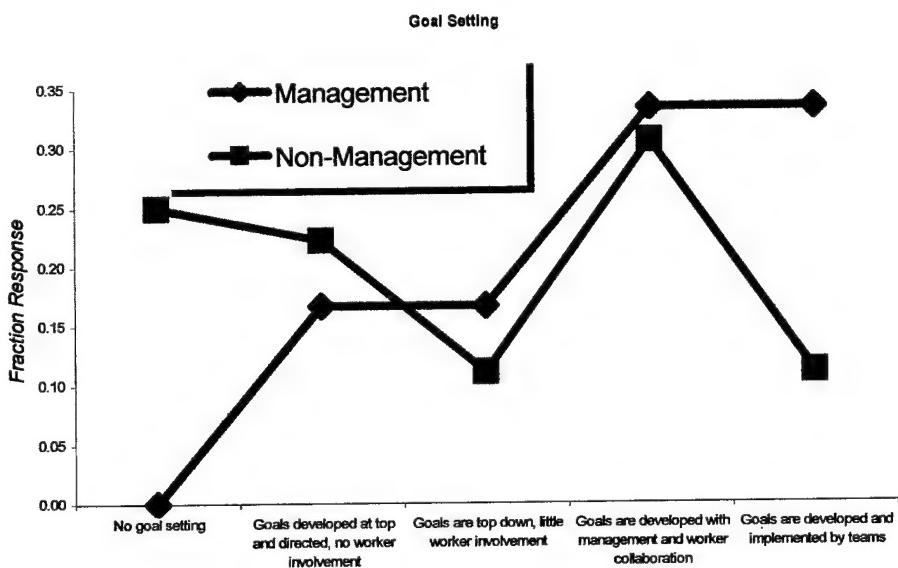


Figure B.6 – Organizational goal setting.

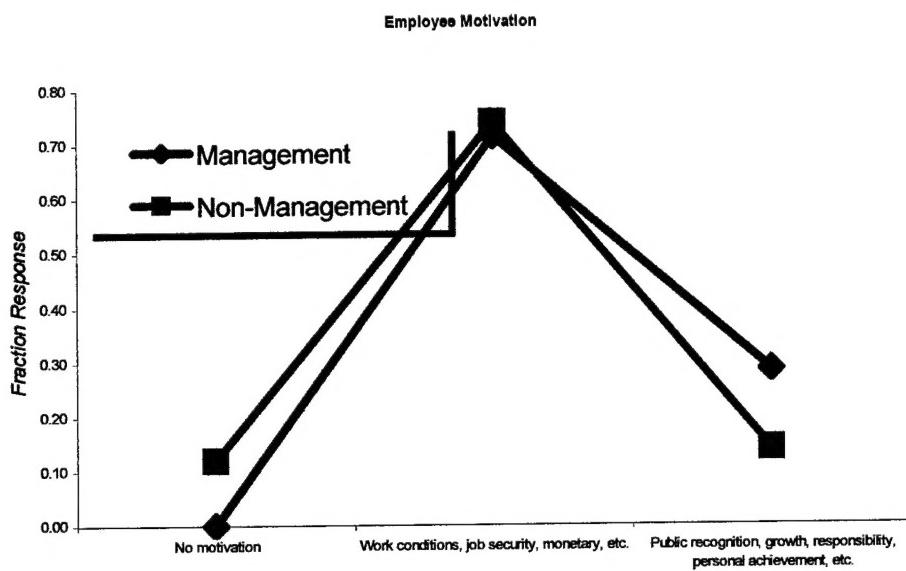


Figure B.7 – Organizational motivation tools.

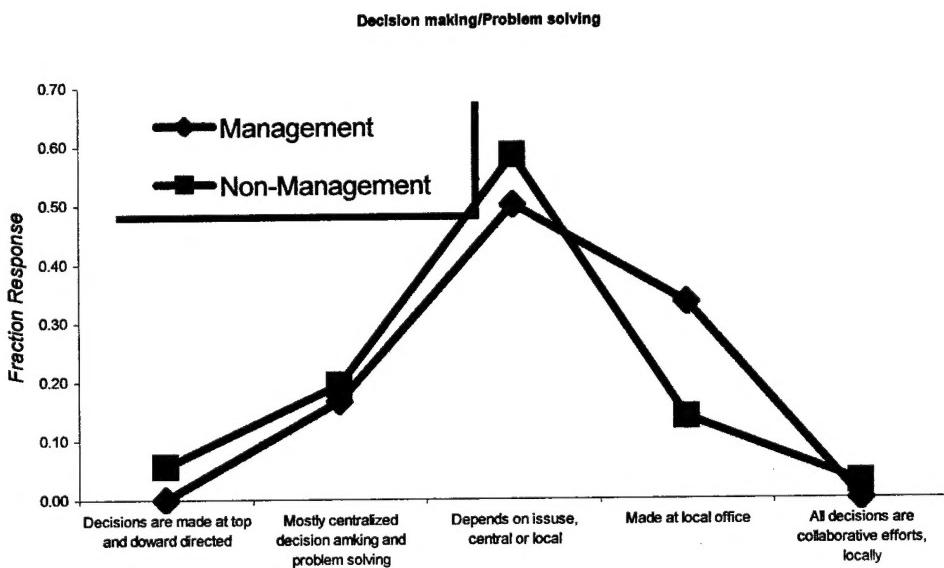


Figure B.8 – Organizational decision making and problem solving techniques.

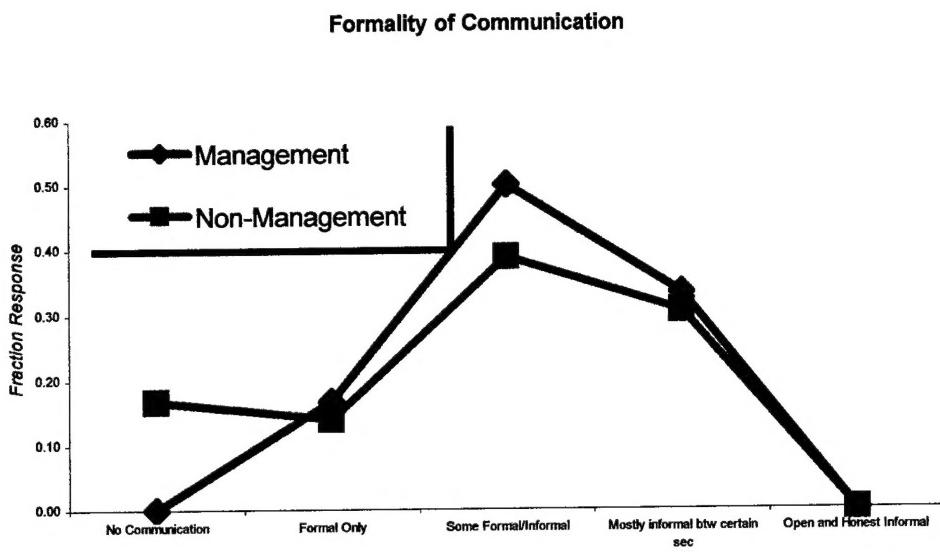


Figure B.9 – Organizational conduits for communication.

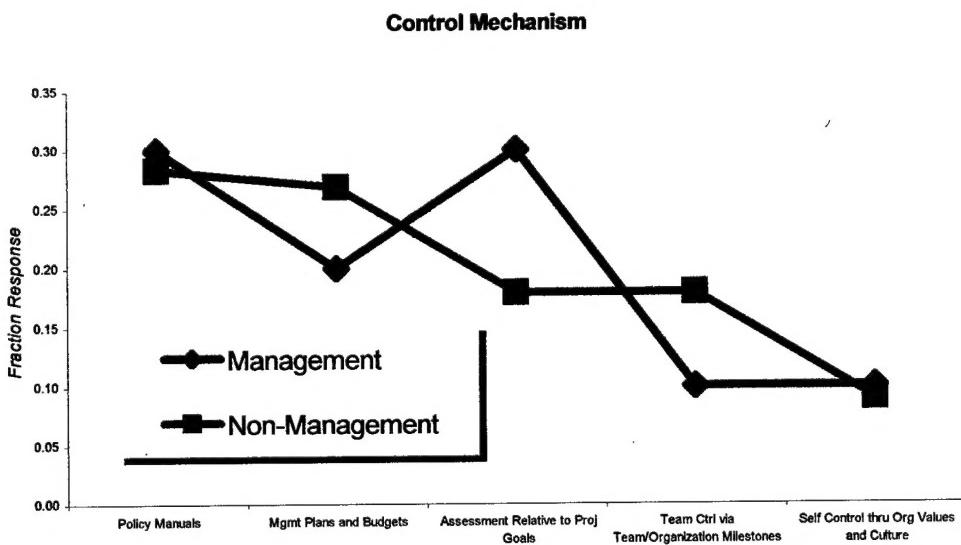


Figure B.10 – Control mechanisms employed by the Sensors Directorate.

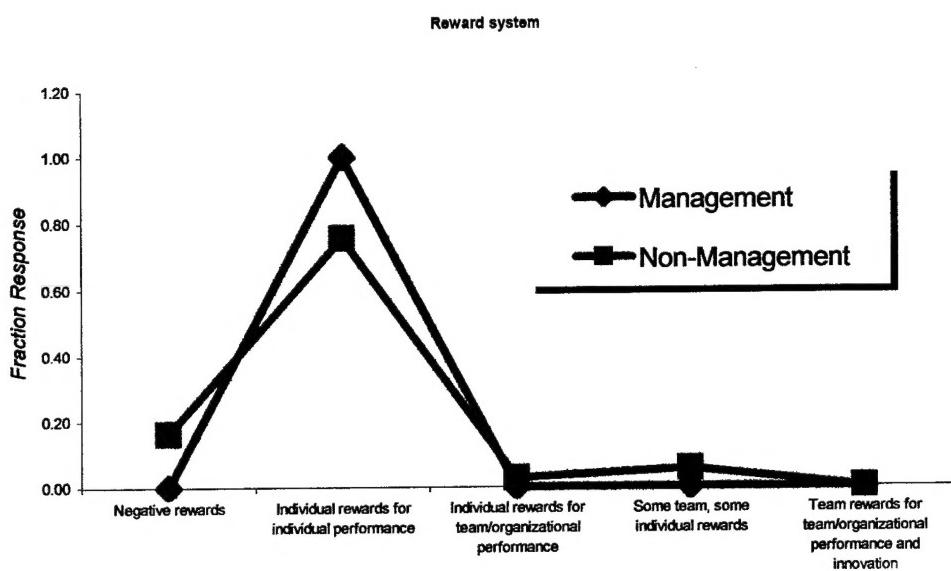


Figure B.11 – Reward system employed by the Sensors Directorate.

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